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OFFICER PERFORMANCE APPRAISAL
IN
THE UNITED STATES NAVY.

Thesis
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OFFICER PERFORMANCE APPRAISAL

IN

THE UNITED STATES NAVY

By

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PREFACE

The U.S. Navy has used an officer appraisal and selection system of some sort as a personnel management tool since the early 1800's. The first formal officer appraisal in the U.S. Navy was recorded in 1818. Since 1818 significant changes have taken place in the Navy which could have a bearing upon the effectiveness of the appraisal and selection system in use in the Navy today.

Principal among the changes have been an advance in technology, the change from a "national" to an "international" Navy, the country has developed to a high level of economic and intellectual capability engaged in a major leadership role in world affairs, and a significant increase in the body of knowledge relating to human behavior, appraisal and selection techniques has transpired.

Additionally, the Navy has developed into "big business"--comprising some 670,000 officers and men--spending approximately \$15 billion dollars annually.

The mission of the United States Navy is to project sea-power as required by national policy to support the nation's national purpose and interest. The responsibility inherent in the Navy's mission would appear to make it mandatory that effective management procedures be employed in the Navy and that such procedures be improved as the dynamics of the time

allow. The naval officer appraisal and selection system is one of the basic management procedures in use in today's Navy. The system has "grown up" over a long period of time.

The foregoing changes and facts appear to suggest the need to analyze the naval officer appraisal and selection system. Thus the purpose of this paper is to take a "critical look" at the system--^{from} its inception to the present time. This examination should provide the means to make "value judgment" as to the effectiveness of the system.

To gather material for analysis of the officer appraisal and selection system this writer examined the instructions and regulations of the Navy Department which related to the system, interviewed civilian and military personnel in the Bureau of Naval Personnel who are assigned various responsibilities in connection with the administration of the system, made a statistical sampling of naval officer opinion as to the effectiveness of the system, and read several books and articles in the field of appraisal.

The readings in the field of appraisal produced two fundamentally conflicting points of view as to the need of an appraisal system. One viewpoint established by writers in the field is that a formal personnel appraisal and selection system is needed in any enterprise to assure selection and promotion of those best qualified for jobs of increasing responsibility. Opposed to the point of view are those writers who maintain that an appraisal and selection system is unnecessary in today's environment. This fundamental issue is examined as it might

apply to the Navy.

Chapter I--The development of the U.S. Navy is outlined. This chapter relates the purpose of the navy to the national purpose, and shows the influencing factors which bear upon the need and purpose of an officer appraisal and selection system in the Navy.

Chapter II--In this chapter the conflicting issue as to whether or not an appraisal and selection system is necessary is examined. The various purposes or uses which the Navy's officer appraisal and selection system must serve are outlined, examined, and shown to influence the nature of the system and the procedures which can be effectively employed in the system. The scope of the appraisal problem is examined in some detail. It is shown that the scope of the problem acts as a constraint upon the system.

Finally, the criteria and elements considered essential in an effective appraisal system are discussed. These criteria and elements provide the basis for evaluation of the effectiveness of the Navy's current officer appraisal and selection process.

Chapter III--This chapter provides an analysis of the Navy's officer appraisal and selection system. The historical development of the system is traced in the first part of this chapter. The fitness report form, the primary appraisal device in current use, is examined as it evolved from 1818 to the present time, 1965.

The concluding section of the chapter is devoted to an

examination of the appraisal and selection system using the criteria and elements of an effective system outlined in chapter II as a "guideline".

Chapter IV--This chapter compares the officer appraisal reports currently in use in the U.S. Navy and U.S. Army.

Chapter V--This chapter provides an analysis of an opinion survey. The survey was made by means of a written questionnaire which was mailed to a sample group of active duty naval officers. The purpose of the survey was to determine the effectiveness of the officer appraisal system as perceived by those most affected by the system--the naval officer.

Chapter VI--The concluding chapter summarizes the major points discussed in the thesis and arrives at several conclusions, including weaknesses in the system which were revealed by the study of the system.

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CHAPTER I

INFLUENCING FACTORS UPON THE NEED AND PURPOSE OF AN APPRAISAL SYSTEM

Early Appraisal.

The First Reference to Formal Appraisal.--Rules, Regulations and Instructions for the Naval Service, published in 1818, contains the earliest reference to appraisal reports made on officers in the U.S. Navy. Article 19 of the Rules required that Commanding Officers, upon paying off the crew, report to the Secretary of the Navy and the Board of Commissioners the following: "...the character of each officer serving under him, particularly as to his sobriety, diligence, activity and abilities."¹

Since the time of this first reference to officer appraisal, the U.S. Navy has maintained a formal, written appraisal record on each officer. The form which has been employed has come to be known simply as the "Fitness Report". Regulation Circular Number 86 of 10 September 1891 was the first regulation to promulgate printed forms with detailed instructions for completion of them. The form thus issued was labeled "Report on the Fitness of Officers".

¹U.S. Navy, History of the Officer Fitness Report, Research Report 56-2, NAVPERS 18494, 1956, p. 2.

Appraisal Form Changes.--From the inception of the system to the present date, the appraisal forms have been revised fifty times. Appendix A contains a chronological listing of the fitness reports which have been in use since the beginning of the navy's officer appraisal system. The listing includes the date of issuance of each form, the applicable regulation governing its use, and the classification of the officer(s) for whom the report was used as an appraisal report. From study of the listing it will be noted that initially a separate and distinct report was used for Commanding Officers, Line Officers other than commanding, and Staff Officers. This procedure has changed considerably through the years, and at the present time (1965) two separate report forms are in use--one for all officers (regardless of duty or specialty) of the rank of Captain and below, and one for officers of Flag rank.²

The initial appraisal form required commanding officers to rate four factors--sobriety, diligence, activity, and abilities. Appendix B contains a classification and tabulation of factors rated since the establishment of the officer fitness report system. From an analysis of the data contained in Appendix B it will be noted that personal traits and characteristics have occurred in the greatest number and with the greatest frequency.

In addition to the eighty factors measured, a forced-rating

²Bureau of Naval Personnel Forms 310W and 310A. Hereafter referred to as NAVPERS Forms 310W and 310A.

scale has been in use in sixteen of the reporting forms--one such rating scale is in the current NAVPERS form 310W. A reproduction of form 310W is in Appendix C, figure 10. Appendix C also contains a reproduction of selected fitness reports which have been in use since the inception of the navy's appraisal reporting system. Additionally, copies of the current forms used in the U.S. Marine Corps and the U.S. Army will be found in the appendix. These forms will be later compared to the forms currently used in the navy.

Reasons for Changes.--Research Report 56-2, NAVPERS 18484, a study of the History of the Officer Fitness Report, prepared by the U.S. Naval Personnel Research Field Activity lists the following reasons for the changes which have been made in the officer fitness report form: "... (a) the forms were too long, (b) too many ratings were in the upper categories, or (c) reporting officers tended to give all individuals the same rating ("halo effect") in all categories of the report."³

The foregoing reasons would seem to imply that changes which have been made in the officer appraisal system of the navy have been merely concerned with the "mechanics of the appraisal form". Changes must be concerned with deeper and more fundamental factors.

An officer appraisal and selection system must be a management procedure which is useful in identifying and selecting

³Research Report 56-2, op. cit., p. 1.

those officers best qualified to perform the various duties required of today's naval officer. Initially, the naval officer's duties were limited in scope. As the national interest and purpose have changed since the beginning of the nation an attending change in function and scope of the navy has taken place. The foregoing relationship is rather obvious when it is realized that the sole purpose of the navy is to project seapower in support of the national interest and purpose. As the function and scope of the navy has changed so has the functions demanded of the naval officer changed. The following discussion will show the foregoing interrelationships and outline the changes which have taken place that influence the current need and purpose of naval officer appraisal and selection.

National Interest and Purpose.

The U.S. Navy exists as an instrument of national power with an assigned purpose to assist in attaining the objectives of our national interest and purpose.

Reitzel, Kaplan, and Cobenz define our national interest in such a manner that it contains two principal parts. They define it thus: "the general and continuing end for which a nation acts: to maintain its security and promote its well-being."⁴ They assert that the national interest, however, is normally defined in a particular way to fit given circumstances.

⁴William Reitzel, Morton A. Kaplan, and Constance G. Coblenz, United States Foreign Policy, 1945-1955, (Washington, D.C.: The Brookings Institution 1956), p. 9.

Thus, the national interest undergoes historical redefinition as the requirements of security and well-being are variously understood. The varying complexion of the national interest has directly affected the structure, commitments, financing, and personnel policies employed in governing the U.S. Navy.

A similar relationship exists between our national purpose and the purpose or mission of the U.S. Navy. Archibald MacLeish, the noted poet, playwright and Pulitzer prize winner, provides an apt description of our national purpose as follows:

...Prior to July 4, 1776, the national purpose of nations had been to dominate: to dominate at least their neighbors and rivals wherever possible, to dominate the world. The American national purpose was the opposite: to liberate from domination: to set men free.

.....
 ...We were dedicated from our beginnings to the proposition that we existed not merely to exist but to be free...⁵

The purpose of the U.S. Navy has been, is today, and shall remain "the projection of power from the sea" in support of our national purpose. The purpose of the navy has remained constant. The scope of naval functions, however, has changed significantly as the nation and the navy have developed.

Growth and Influencing Forces.

General--As pointed out by Reitzel, Kaplan and Cobenz, the national interest undergoes historical redefinition as the requirements of security and well-being are variously understood. They discuss the development of the country in

⁵MacLeish, Archibald. "The National Purpose." Life May, 1960.

three stages and highlight significant factors which have influenced the definition of national interest. Thus the Navy, bound to the purpose of supporting the national interest of the country is likewise influenced. Such influences would bear upon the major management procedures employed in the navy--significantly in this instance the officer appraisal and selection system.

The First Stage--From the first settlement in America to about 1890 the controlling motivation of the American government was to consolidate the country as a nation. Thus this stage of development was characterized by continental expansion and development of resources of the continent. The problem during this period was one of preventing the re-establishment of European influences and of molding sectional American interests into a federated whole.⁶ This stage of development saw the beginning of the navy:

In a letter read in Congress, Nov. 1, 1775, General Washington reported the burning of Falmouth, and the next day Congress voted \$100,000 for ships and appointed a naval committee. A second committee recommended a fleet of 13 vessels ranging from 24 to 32 guns...on December 22 the first American fleet was commissioned, with Eschiel Hopkins as Commander in chief.⁷

As quickly as the navy had appeared, it disappeared.

⁶ Reitzel et al., op. cit., pp 11-12. The characterization of the three stages of development is taken in essence from United States Foreign Policy.

⁷ "Navy of the United States," The American Peoples Encyclopedia, 6th ed., XIV, p. 390.

Following the Revolutionary War, complete naval disarmament was achieved by 1785. On 27 March 1794 Congress passed an act authorizing the founding of the present day navy.

It was not until 1797 that America again acquired naval ships. Ships were procured in that year to counter the piracy of the Barbary Powers--then freely capturing American vessels of commerce which were operating in the Mediterranean sea. The following year Congress authorized the President to build, purchase, or hire 12 vessels not to exceed 22 guns, and created the Department of the Navy.⁸ This action marked the beginning of the present United States Navy.

The purpose of the navy during these early years was consistent with the national purpose--security of the country and protection of its resources. Little interest was shown for "international affairs". The navy of that time was small, yet it was during that stage that the first appearance to formal naval officer appraisal was seen. By 1865 the first fitness report forms were indicated in Navy Regulations. Article 296 of the regulations indicated that three forms were to be used--Forms 25, 26 and 27 (see appendix C for a reproduction of these forms.) A later examination of the factors rated in these early reports will provide an insight into the primary functions and responsibilities envisioned for the naval officer of that time.

The Second Stage--The second stage of development extends

⁸Ibid, p. 394

from about 1890 to 1945. This time period is one in which the United States began to play a role as a world power--progressing hesitatingly toward understanding its position in the world. Great strides were made in building up a strong resource and industrial base. Thus two major influences were exerted upon the navy--technological developments and the initial ventures of the country into the international arena. Recognition of these impacts upon the navy had already been recognized by the Secretary of the Navy who sent a letter to the Chairman, Committee on Naval Affairs on 11 February 1885. This letter contained the proposal for establishment of the United States Naval War College, and cited as a need for establishment of such a college the following:

The constant changes in the art of warfare imposed by the introduction of armored ships, swift cruisers, rams, sea-going torpedo boats and highpower guns, together with the more rigid methods of treating the various subjects belonging to naval science render imperative the establishment of a school where our officers may be enabled to...⁹

In the scant years since the Secretary's letter several developments have had a pronounced influence upon the complexion and scope of naval operations--and thus upon the functions of the naval officer.

Technical developments such as the introduction of the first modern battleship (1890), the first submarine (1900), the aircraft as an element of naval power (1911), and nuclear

⁹Congressional Record, 48th Congress, 2d. Session
11 February 1885.

weapons (1945) exerted an influence upon the Navy's functions. These technical developments, therefore, made necessary an addition to the naval officer's duties--they required increased skills and knowledge.

During this time period the Navy engaged in two major wars. This brought about the need to expand the size of the Navy considerably. By the beginning of World War I in 1917, the U.S. Navy had a strength of 4,376 officers and 69,680 men. During that war the navy expanded, and by November 11, 1918 contained 34,292 officers and 503,742 men. In 1940 just prior to World War II the navy was manning 1,899 ships with a total of 203,127 officers and men. World War II saw America with the mightiest fleet ever to sail the seas, by 1945 the navy consisted of 67,952 ships and 4,031,097 officers and men.¹⁰

These wars and the expansion of the navy influenced the naval officer in several ways. Officers were required to manage an organization composed of large numbers of men. The navy employed large amounts of materials at a significant expenditure of public funds. World War II demonstrated the need for complex joint and allied military actions--this gave rise to a permanent U.S. Chiefs of Staff organization. This joint nature of modern military warfare levied a requirement upon the navy that it's officers be skilled in joint and combined staff duties.

¹⁰Figures, dates and events in this section are taken from "Almanac of Naval Facts", U.S. Naval Institute, Annapolis, Maryland, 1964.

The major influencing forces of this time period indicate that an effective officer appraisal and selection system would be one that would enable naval management to identify officers possessed with technical, human relations, management (material, financial, and organizational), professional and staff abilities and knowledge.

The Final Stage--The final stage begins following the close of World War II in 1945. It is characterized by Reitzel, Kaplan, and Cobenz as follows: "The final and unfinished stage is that in which the United States is acting as a major world power whose decisions fundamentally affect the whole structure of contemporary international relations".¹¹

This period has perhaps exerted the most profound influence upon naval organization. A major reorganization of the military departments took place in 1947. The National Security Act of 1947 reorganized the separate departments of the army and navy into units of a single Department of Defense. It also created the Department of the Air Force. The Reorganization Act of 1958 created the Unified Commands--commands consisting of army, navy, and air force components operating directly under the Joint Chiefs of Staffs. This made permanent the need for officers highly skilled in performance in joint staff duties.

Secondly, during this period the United States entered into a network of mutual security alliances. In 1949 the North Atlantic Treaty Organization (NATO) was created in which the

¹¹Reitzel et al. op. cit. p. 12

U.S. aligned with fourteen nations in a mutual security alliance. By 1954 the United States had become allied with over forty nations in various security alliances. These included alliances with twenty American nations in the Organization of American States; members in two multilateral arrangements in the Pacific, and bilateral treaties with Japan, the Philippines, and the Republic of China.¹²

This gave rise to a new and profound aspect of the navy's role and mission. These treaty arrangements created the need for combined naval operations of the participant nations. In the case of NATO an entire allied command structure was created. The Pacific counterpart of NATO, the Southeast Asia Collective Defense Treaty (The Manila Pact), aligns the United States with seven countries in a mutual security pact. The Military Advisors Group of the Southeast Asia Organization is composed of a high ranking officer from each member nation. The United States representative is a naval officer, the Commander-in-Chief, Pacific. Additionally, each nation provides military planners from all their military services. Each of the various security alliances create the need for similar planning organizations. Thus, the nation's mutual security policies have dictated the need for naval officers to be skilled and knowledgeable in planning and conducting operations with members of many foreign nations. This new dimension in the naval officers duties requires

¹²Security Organization and Alliance discussion taken in essence from National and International Security Organization U.S. Naval War College, Newport, R.I., 1962

an appraisal and selection system which can enable management to identify those officers who possess the necessary knowledge and skills to best perform duties in this delicate and crucial area.

Technology during this period continued to have its impact upon the naval officer's qualifications. The first nuclear-powered submarine, U.S.S. Nautilus, was commissioned on 30 September 1954 at a cost of \$29,000,000. The first Guided Missile Cruiser, U.S.S. Boston was commissioned 1 November 1955. By May of 1961 Commander Allan B. Shepard, U.S. Navy was the first American in space. Technology has brought improved and sophisticated weapons systems--also complexity and high cost. Both of the foregoing problems add to the professional qualifications required of the naval officer of today's navy. Technology has lead to the need for "specialities" in the officer corps.

Table 1, page 13 graphically depicts the size and structure of the navy as it exists today.¹³ It will be noted that a relatively stable structure and strength of forces now exists. Of the 667,000 active duty military personnel shown as of 30 June 1964, 76,400 were officers.

Approximately 52 percent of the officer strength comprises the unrestricted line, limited duty line, and warrant officer categories. The nature of the specialty problem is illustrated by the specialities and sub-specialities recently studied by

¹³U.S. Navy, Office of the Comptroller. Budget Digest, Fiscal Year 1965, NAVEXOS B-1355, p.1

TABLE 1

DEPARTMENT OF THE NAVY
MAJOR FORCES, FISCAL YEARS 1963-1965^a

	Actual		Planned
	30 June 1963	30 June 1964	30 June 1965
Commissioned Ships in Fleet....	857	859	883
Warships.....	385	386	410
Other.....	472	472	473
Attack Carrier Air Wings.....	17	17	17
Carrier ASW Air Wings.....	11	11	11
Patrol and Warning Squadrons...	35	35	35
Marine Divisions.....	3	3	3
Marine Aircraft Wings.....	3	3	3
Active Duty Military Personnel.	853,385	857,400	868,300
Navy.....	664,207	667,600	678,300
Marine Corps.....	189,683	189,800	190,000
Reserve Component Personnel (Drill Pay and 3 to 6 Months trainees).....	165,885	169,137	171,500
Navy.....	119,611	121,277	126,000
Marine Corps.....	46,274	45,860	45,500
Active Aircraft Inventory (Regular and Reserve).....	8,756	8,319	8,377
Operating Aircraft.....	7,165	6,949	6,905
Pipeline Aircraft.....	1,591	1,442	1,472

^aSource of Data: U. S. Navy, Office of the Comptroller.
Budget Digest, Fiscal Year 1965, NAVEXOS P-1355, p. 1.

the "Coombs Board", a study board headed by Rear Admiral Walter V. Coombs, Jr., USN, Assistant Chief of Naval Operations for Manpower. The board spent four months studying billet requirements in the naval officer corps. The board examined requirements for billets in specialty areas and the size of each specialty group; which billets should be filled by officers having graduate level education, including doctorates, and, in the case of unrestricted line billets, the number of officers required to fill these jobs, and which billets in sub-specialty areas were required to be filled by people with bachelors' degrees or equivalent experience. The board considered nine specialty and fourteen sub-specialty areas as follows:

a. Specialities:

- (1) Engineering duty
- (2) Weapons Engineering duty
- (3) Meteorology
- (4) Cryptology
- (5) Law
- (6) Intelligence
- (7) Public Information
- (8) Supply Corps
- (9) Civil Engineer Corps

b. Sub-specialities:

- (1) Ship Engineering
- (2) Weapons Engineering
- (3) Environmental Science
- (4) Cryptology
- (5) Intelligence
- (6) Public Information
- (7) Politico-military Strategic Planning
- (8) Material Support Management
- (9) Personnel Administration
- (10) Financial Management
- (11) Communications
- (12) Computer Systems Management
- (13) Operations Analysis
- (14) Science 14

By comparison with the \$100,000 voted for ships by Congress in 1775, table 2, page 16, illustrates the current financial scope of the navy. The table depicts the new obligational authority provided for financing the operation of the Department of the Navy for FY 1965.

Summary.

As the nation has grown from a small country primarily dedicated to a national interest which might be described as a concept of "fortress America" to a nation participant in world affairs, so has the U.S. Navy grown in size and scope. The navy as has been shown has grown from a simple sailing fleet created by an appropriation of \$100,000 to a navy composed of 667,000 officers and men manning complex weapons systems and supported by just under \$15,000,000,000 in annual appropriations. Coincident with this growth the officer corps has had imposed upon it additional functions in many diverse specialized areas of endeavor. The navy has become an "International Navy" operating in a complex world. To assure that the officers best qualified to man the navy have been selected and promoted to higher rank and assigned to the responsible jobs, the navy has resorted to the use of an officer appraisal system--the report used in the system as has been shown to have been changed 50 times since inception of the system. It would appear that the factors which have been discussed militate strongly for the need for a critical examination of the officer performance evaluation system--a system which has more or less "grown up" in the navy since 1818. In summary, these factors are:

TABLE 2

DEPARTMENT OF DEFENSE
FISCAL YEAR 1965 NEW OBLIGATIONAL AVAILABILITY^a

- \$ Millions -

Department	Budget Document	Congressional Action	Change
Navy	14,785	14,507	-278
Army	11,695	11,642	-53
Air Force	19,184	18,851	-333
Defense Agencies	3,436	3,284	-152
Civil Agencies	353	405	+52
Total Department of Defense	49,708 ^b	48,428	-1,280

^aSource of Data: U. S. Navy, Office of the Comptroller. Budget Digest, Fiscal Year 1965, NAVEXOS P-1355, p. 34.

^bTotal Department of Defense expenditures exclude Military Assistance and Undistributed Proposed Legislation.

(1) a tremendous growth in physical, technical, political, and financial size and statue of the navy.

(2) a redefined national interest--from a "fortress America" to a nation participant in world affairs.

Each of the foregoing factors certainly could have a significant impact upon the purpose, scope, and attending effectiveness of the officer evaluation system employed in the navy today. In such an evaluation of the appraisal system the following fundamental questions appear germane to the analysis:

- (1) Is there a need for an appraisal system?
- (2) What are the criteria for an effective system?
- (3) What are the purposes that the system must serve?
- (4) What is the scope of the appraisal problem?
- (5) Does the system serve the purposes and scope; if not, what changes are required?

A critical examaination of the foregoing questions will provide means for evaluating the effectiveness of the current appraisal system in use in the U.S. Navy. The examination of the aforementioned issues in succeeding chapters will assist in providing an answer to the question: "Does the officer personnel appraisal system employed in the U.S. Navy provide effective means of evaluating and selecting those officers best qualified to fill billets of command responsibilities encompassing duties which require management of men, money, and materials in both a national and international 'technical navy' in support of the United States' national purpose and interest?"

Chapter II will examine the need for an appraisal system, the criteria for an effective system, and the purpose and scope of the appraisal system.

CHAPTER II

NEED, PURPOSE, SCOPE, AND CRITERIA OF AN APPRAISAL SYSTEM

Need, Purpose, and Scope.

The Need. Is there a need for an officer appraisal system in today's navy? The readings in the field of appraisal produce two points of view as to the need for an appraisal system. Some writers contend that a formal personnel appraisal system is necessary in order to have an effective organization. In contrast to the foregoing view, others maintain that an appraisal system is not necessary in today's environment and further they contend that man should not be placed in a position which requires him to judge another person. They believe that it is neither ethical nor can such value judgment be scientifically and accurately made.

An essential element to be considered in the resolution of this fundamental issue is the point that all organizations exist to achieve an objective and that procedures would, therefore, be employed which will allow that organization to best achieve its objective. To accomplish its mission the navy must identify those officers who are best qualified to perform the myriad of duties required of the naval officer's profession.

Charles A. Beard, however, explains the need for such value judgments quite lucidly as follows:

The social scientist may declare, if he wishes, that he will ignore this continuous process of valuing or choosing that goes on in society, which makes for the change of culture by discarding the old and adding the new, but by his declaration he merely shuts his eyes to a large part of the "data" of this field, essential and determining data.

Human desires, interests, hopes, admirations, dislikes, and resentments will not disappear because social scientists refuse to take them into consideration and ostentatiously decline to express any opinions respecting them.

It cannot be denied that making such value judgments and decisions in many departments of life--family, economic, and political--is hazardous business. The good or better setup by one person may be denied or trampled upon by others; or the course chosen may produce unexpected or undesired results. Nevertheless, in such hazards is life entangled; and nothing is gained by refusing to face the facts.

The social sciences, then, are ethical sciences. As ethical sciences, they are concerned with good or better conduct and good or better material and social arrangements.¹

It appears from the foregoing that the magnitude of the responsibility imposed upon the naval officer to fulfill the assigned mission suggests the necessity to have a formal officer appraisal and selection system--recognizing that no such system will be perfect, but nonetheless necessary!

The Purpose--Bureau of Naval Personnel Instruction 1611.12 gives the purpose of the Officer Fitness Report as follows:

Fitness reports are the primary basis for selecting officers for promotion and assignment to duty. Realistic objective evaluations of individual officers are essential to the accomplishment of each of these tasks. The failure of a reporting senior to appraise and record either outstanding performance or the shortcoming of any officer under his command not only is a grave failure to meet a public trust, it is an injustice to the careers and opportunities of the able and competent.²

¹Charles A. Beard, The Nature of Social Sciences (New York: Charles Scribner's Sons, 1934) pp. 39-44.

²U.S. Navy, "Bureau of Naval Personnel Instruction 1611.12", 4 April 1962, Enclosure (1), paragraph (1) (b).

Further insight into the purpose of the naval officer's selection system is provided by Vice Admiral B.J. Semmes, Jr., USN, the present Chief of Naval Personnel, and by Vice Admiral W.R. Smedberg, III, USN who was the Chief of Naval Personnel prior to the present incumbent.

Vice Admiral Smedberg, then Chief of Naval Personnel, in a memorandum dated 18 September 1962, titled "Memorandum to All Officers Signing Fitness Reports as Reporting Seniors", described the purpose of the appraisal system as follows, "The suitability of a particular officer for future assignments, selection, or retention is based in large degree upon evaluation furnished by his reporting seniors....It must be remembered that the function of the selection system is to produce the leaders of tomorrow."³

Vice Admiral Semmes, the present Chief of Naval Personnel who is the officer charged with proper administration of the officer appraisal system, writing in the "Officer Personnel Newsletter" amplifies the purpose and major uses of the fitness report as follows:

The performance shown in your fitness report record is reviewed before every action taken by the Bureau of Naval Personnel. It is most evident when promotion boards are deliberating, but is equally significant when officers are being considered for reassignment, command, post-graduate education, service colleges, or continuation.⁴

³Memorandum to All Officers Signing Fitness Reports as Reporting Seniors from Vice Admiral W.R. Smedberg, III, USN Bureau of Naval Personnel, Washington, D.C. 18 September 1962.

⁴U.S. Navy, Bureau of Naval Personnel, The Officer Personnel Newsletter, (Washington, D.C., January 1965), p. 1.



From the foregoing discussion it can be seen that current instructions list two purposes for the use of the fitness report record: (1) selection for promotion, and (2) selection for assignment to duty. The Chief of Naval Personnel, however, has further interpreted the purpose to include such ancillary functions as selection for: (1) command, (2) post-graduate education, (3) service colleges, (4) continuation on active duty, and (5) augmentation of Reserve Officers into the Regular Navy.

The following section in this chapter will examine the scope of the problem as it evolves from the foregoing purpose. The concluding section of this chapter will then examine the criteria which should be met in an effective appraisal system.

The Scope--Perhaps the beginning point in examining the scope of the appraisal and selection problem is to consider the number of officers governed by the system. At the end of the past fiscal year (30 June 1964), there were a total of 76,400⁵ officers on active duty. These officers were distributed in rank as shown in table 3, page 23. A total of 17,689 officers were selected for promotion in fiscal year 1964, and 15,239 were selected in fiscal year 1965. Table 3 also provides the per cent of those officers considered for promotion who were actually promoted. During fiscal year 1966, the navy estimates it will select 17,772 officers for promotion. The scope of the problem can be appreciated when it is recognized that to select

⁵Statistics in this section unless otherwise noted are from records of The Statistics and Analysis Section, Bureau of Naval Personnel, PERS A.

TABLE 3

U. S. NAVY OFFICERS: PERSONNEL STRUCTURE AND PROMOTION STATISTICS
1954-1955

Rank	Number on Active Duty	Years Service Prior Promotion	Per Cent FY 65 Selected
Fleet Admiral	1		
Admiral	9		
Vice Admiral	32		
Rear Admiral	250	27	3.75
Captain	4197	22	44.00
Commander	8022	16	
Lieutenant Commander	12054	12	90.30
Lieutenant	21370	7	94.70
Lieutenant, Junior Grade	16726	1½	
Lieuten	11907	1½	
Ensign	1837		
Total.....	75400		

Source of Data: U. S. Navy, Bureau of Naval Personnel, Statistics and Analysis Section, PERS A. Number of officers on active duty as of 30 June 1964.

the 15,000 to 18,000 officers for promotion each year, many additional records must be screened. Table 4, page 25, Fiscal 1965 Partial Line Selection Analysis provides an examination of the number of records considered in the case of officers being selected to four grades--to Rear Admiral, Captain, Lieutenant Commander, and Lieutenant. From this sample is provided a "bird's eye view" of a segment of the selection problem. For the four ranks considered a total of 9,273 officers were considered; 5,561 were selected for promotion. Generally the number of fitness reports submitted on each officer average about two and a half per year.⁶ As an illustration those officers being selected for promotion to Rear Admiral have completed about 27 years of active service; thus each would average about 67 fitness reports in his record--a total for the group being considered of 55,374 reports.

Table 5, page 26, FY Selection Programs, Selected Statistics, U.S. Navy shows the scope of the fitness report and selection problem as related to selection for post-graduate school, service college, and transfer to the Regular Navy. Annually about 14,000 to 17,000 records must be screened to select about 4650 officers for these programs, plus about 850 alternate candidates for the school programs.

The foregoing brief examination of the scope of the appraisal and selection program in the navy is by no means all inclusive.

⁶Interview with the Head, Fitness Report Branch, Bureau of Naval Personnel, October 23, 1964

TABLE 4

ANNUAL 1965 MARITAL LINE SELECTION ANALYSIS U. S. NAVAL OFFICERS^a

TO REAR ADMIRAL				TO CAPTAIN			
Category	Number Eligible	Number Selected	Per Cent Selected	Category	Number Eligible	Number Selected	Per Cent Selected
10/Above Zone	235	10	4.25	URL ^b	940	412	44.0
Below Zone	592	21	3.50	RL ^b	99	52	52.5
Total	827	31	3.75	Total	1039	464	44.8
TO LIEUTENANT COMMANDER				TO LIEUTENANT			
Category	Number Eligible	Number Selected	Per Cent Selected	Category	Number Eligible	Number Selected	Per Cent Selected
URL	1490	1357	90.6	URL	3100	2939	94.6
RL	86	80	96.4	RL	41	41	100.0
Total	2576	1437	90.3	Total	4321	3629	94.7

^a Source of data: U. S. Navy, Bureau of Naval Personnel, Statistics and Analysis Section, PERS A.

^b URL (Unrestricted Line Officer). RL (Restricted Line Officer)

TABLE 5

TABLE 5
 THE SELECTION PROGRAMS, SELECTED STATISTICS
 U. S. NAVY

Category	Records Considered	Total Selected	Principal	Alternate	Not Available
Service					
2011870	2000-11000 ^b	2391	1300	600	491 ^c
Transfer to Regular Navy	2000-3000 ^b	750	500	250	None
	700-800 ^d	377	377	None	None

a. Source of Data: U. S. Navy, Bureau of Naval Personnel, Educational Selection Section, 2003 A.

b. Annual average records considered, number varies with the size of the educational program being considered.

c. 491 selected but not available, "banked" for later use.

d. Number and selection opportunity varies as does of the service vicariate; three to four board per year. 377 selected by the 2 May 1964 selection board.

In addition to the major programs illustrated it is necessary to use the fitness report records to select officers for command--for command of capital ships, aviation squadrons, naval air stations, etc.

Milton M. Mandell and Sally H. Greenberg of the Standards Division, Bureau of Programs and Standards of the United States Civil Service Commission, authors of the Personnel Methods Series No. 2 pamphlet titled Selecting Supervisors state that "in general, experience with systematic selection plans indicates that they are most needed...where the number of potential competitors is about ten or more and where the total size of the organization is about 1,000 or more".⁷

From the foregoing it appears that the scope of the appraisal and selection problem in the navy suggests the need for a systematic appraisal and selection system and also that the magnitude of the appraisal and selection problem will act as a practical constraint upon the criteria and procedures which can be employed in any selection system which is used in the navy.

Criteria and Elements of an Appraisal System.

Criteria of an Appraisal System--It should be obvious, and yet it may need emphasis, that an officer appraisal and selection program in the navy is no panacea. Such a program cannot produce qualified officers if there are none such among the officers.

⁷Milton M. Mandell and Sally H. Greenberg, Selecting Supervisors, U.S. Civil Service Commission Personnel Methods Pamphlet Washington, D.C. : Government Printing Office, 1956, p. 34.

It cannot correct deficiencies arising from poorly defined responsibilities and an ineffective organizational structure, or from lack of educational opportunities. It cannot provide officers who will perform miracles in "operations", "build high personnel morale" and attain "high reenlistment rates" if the personnel are basically inadequate or if pay is low, advancements in rating are rare, equipment is poor, and working conditions are long and result in many months at sea away from home and family. It cannot result in the full use of the officer talents if the officers have to spend a major portion of their time preparing lengthy evaluation records and reports. It cannot be effective if the evaluation reports, once produced, do not lend themselves to practical easy use for the purposes intended. It cannot be effective if it does not measure those characteristics and performances fairly and accurately which will assure promotion of those best qualified.

Thus, it would appear that essential criteria of an effective appraisal and selection system would include:

(a) Input. The system cannot make quality where quality does not exist. The first criteria thus becomes one of assuring minimum qualifications are possessed by the input of officers into the system.

(b) Appraisal Techniques. An effective system must, to remain dynamic, consider and use those appraisal techniques which in best combination will assure the best possible appraisal and selection means. This means that the system itself must be under constant appraisal to assure incorporation of latest appraisal

techniques and methods as such are newly devised.

(c) Valid Measure. The system must provide for a valid measure of those factors which related to both the present and the new jobs envisioned for those selected--or future potential. The measuring device must provide for proper discrimination between the qualities and performance of the group being measured. The results must be perceived by those affected by the program as being "a fair judgment".

(d) Practicality. The most elaborate appraisal system which could be devised would be useless if it cannot meet the test of practicality. To be effective any system must be one which includes procedures and appraisal forms which can be easily administered with a reasonable expenditure of time. Likewise, the results must be in format suitable for use for which intended. The results must lend themselves to reduction to practical, easily interpreted results suited for selection purposes.

Elements of An Appraisal System--"Elements of an appraisal system" is used in this section as a term to include the techniques, procedures, and methods employed in the appraisal and selection process of a formal appraisal and selection system. Any appraisal system should be concerned with employing the best combination of procedures and techniques as an integral part of the program. This section will list and discuss the various techniques and procedures which are considered pertinent to an appraisal and selection system. The principal advantages and disadvantages of each procedure or technique will be considered. This examination will provide guidelines for an analysis of the

appraisal system which is employed in the U.S. Navy.

It is considered that as a minimum an effective appraisal and selection programs for supervisory positions would employ applicable portions of the following techniques or methods:

- (1) minimum qualification, (2) supervisory appraisals,
- (3) written tests, and (4) interviews.

Minimum Qualifications--Minimum qualifications in an appraisal and selection system fall into two areas of consideration. First are those minimum qualifications which must be possessed by each individual in order to be considered for initial entrance into the enterprise--for example the minimum qualifications to enter into the naval officer corps. Secondly, minimum qualifications then also come into play as the individual is considered for selection to a higher position within the management or officer corps hierarchy of the organization. The establishment of minimum qualifications is the simplest, and if valid qualifications are established, the most effective means of insuring that the candidate possesses at least those minimum qualifications desired. The serious shortcoming of this method of selection is that it is most difficult to set valid criteria--invalid criteria might exclude automatically many fine potential candidates.

Supervisory Appraisals--Supervisory appraisals vie with the oral interview as the most widely used appraisal and selection device in use. This type appraisal technique involves two main types of qualification inquiry: the qualifications investigation, which involves interviews with persons who are acquainted with

the candidate's performance, and the written appraisal questionnaire or form in which the supervisor records his evaluations.⁸ This latter method is the principal appraisal device in use in the officer appraisal and selection system currently in use in the U.S. Navy--currently it manifests itself in the forms as shown in figures 10 and 11, Appendix C. It will be noted that the form used for appraisal of flag officers uses the narrative statement form, while the form used (NAVPERS 310W) for evaluation of all other officers uses a combination of narrative and check off rating factors--factors which the rater simply evaluates and checks in an appropriate box.

The appraisal forms which have the principal emphasis upon the checkoff system lend themselves to summary of the evaluation results mainly by a clerical process of giving set weights to each factor and calculating a total numerical score. The narrative appraisal forms on the other hand must be evaluated by a committee or board. The validity of the evaluation of the narrative form is limited by the training and competence of the board to make valid judgments.

The principal shortcomings of the narrative appraisal form are that the evaluators give as much credit to technical competence as to supervisory qualifications, they give as much credit to hearsay evidence as to direct observation, and they give as

⁸A full description of the qualifications investigation can be found in the Civil Service Commission's Handbook, X-110 and in the following article: Milton M. Mandell, "The Qualifications Investigation", Personnel, Vol 28, (1952), pp. 387-390.

such or usually more credit to more forceful phraseology--even though the less vigorous words were intended by those providing the information to record equally high praise. Finally, the narrative form by comparison with the checkoff form requires more time to complete. For high level positions, however, this extra time would appear worthwhile.

Mandell and Greenberg cite the following as the main advantages and disadvantages of supervisor appraisal forms:

The supervisory appraisal as a selection method has three important advantages: (a) It provides an additional means by which line management can participate in the selection process; (b) its use can motivate employees to do a better job in their current work assignments; and (c) when well done, it is the best method for evaluating personal characteristics because appraisals result in information on how the applicant actually behaves, as distinguished from the artificial situation of an interview or a written personality inventory. Its disadvantages are that (a) workers may be suspicious of it because of the opportunity it gives for the exercise of personal bias and (b) it demands great skill on the part of those evaluating the information given, and when a voucher is used, on the part of those filling out the voucher.⁹

Written Tests--Of all methods used in selection systems, written tests probably receive the most criticism. It is absolutely necessary to be highly discriminating in selecting correct and valid tests to use as a part of a selection program. Some tests are poorly prepared--others just do not measure what it was intended to measure.

The written test can inspire "blind loyalty"--it can all too easily be conceived as a finite, objective, and accurate means of measurement. To overcome this major shortcoming of the written

⁹Mandell and Greenberg, Op. cit., p. 15

test, one must realize that the written test must be valid and that written tests should be only one part of an effective appraisal and selection program.

Those who oppose written tests offer the following main criticisms of the device:

(1) Written tests do not measure personality characteristics- therefore it is easy to forget that what is desired is to measure personnel in order to select those who are possessed with technical, judgmental, management, and human relations competence.

(2) Written tests are not valid; that is, they do not measure what is intended to be measured.

(3) Individuals do not show their true ability in written tests.¹⁰

(4) Candidates say one thing in answering a test and do another in the work situation.¹¹

The proper use of written tests in an appraisal and selection program can offer a number of advantages. Principal advantages

¹⁰ Mandell and Greenberg assert that this criticism is more likely to be justified in performance tests, such as typing, etc. They make a significant observation that it is probable that those very few persons who go completely to pieces over a written test do not have the maturity and stability needed for a supervisory position. (Mandell and Greenberg, Op. Cit., p. 16).

¹¹ Based on research data found in Milton M. Mandell, "Correlates of the Supervisory Judgment Test", Public Personnel Review (April 1956), pp. 79-80, Mandell and Greenberg make the following observation: Theoretically this might well occur; in actual practice it has been found that those who give the correct answers on a valid test are significantly more likely to be successful in the work situation and to have desirable personality characteristics. (Mandell and Greenberg, Op. Cit., p. 16).

of such use are as follows:

- (1) Valid tests can measure factors important to job success.
- (2) A large number of candidates can compete, at a relatively economical cost.
- (3) Tests can be used as a screening device to eliminate large numbers of candidates, making it possible to then limit more expensive methods to those thus showing the most promise on the written tests.
- (4) Tests can improve morale, rejected employees are generally more pleased that their non selection was based upon objective evidence rather than someone's subjective opinion of them.

Many types of tests exist for use in personnel management. Those considered as having possible potential for personnel appraisal and selection purposes are as follows: (1) General Intelligence Tests, (2) General Aptitudes Tests, (3) Personality Tests, and (4) Achievement Tests.

General Intelligence Tests--Many definitions of intelligence exist in the writings in the field of testing. This writer considers the most useful definition defined as: "the power to learn or to adapt to new situations". The foregoing definition might suggest that this type ability is subject to direct evaluation.

However, ability to learn and adapt to new situations can only be inferred. Thus, intelligence tests are tests which are designed to "measure the performance of tasks the successful

completion of which is generally believed to be dependent upon intelligence".¹² For appraisal and selection uses the value of the intelligence test would be that it provides an objective basis for the inference.

Intelligence tests in current use include both individual and group tests. The former being administered by a tester to one individual at a time--such tests may be composed of written, oral and performance testing procedures. The group test is generally a pencil and paper, written test administered to a group. The Army Alpha and Army Beta tests are examples of the group tests, while the individual tests are ones patterned after the Binet-Simon tests which first appeared in France from 1905 to 1911.

The results of intelligence tests as raw scores have little meaning for selection uses. The results must, therefore, be reduced to various derived measures which can be used for making comparative analysis of the scores. The most commonly used measure is the Intelligence Quotient (IQ).

General Aptitude Tests--Aptitude tests parallel intelligence tests but are narrower in scope. Aptitude tests measure the individual's potentialities in terms of specific abilities resulting from inheritance and general experience but disregarding

¹²The intelligence test samples widely from the fields of learning resulting from experiences assumed to be common to all persons subjected to the test. Roughly, it is assumed that what an individual has learned is indicative of his potentialities for learning. (H.A. Greene, A.W. Jorgensen, and J.R. Gerberick,) Measurement and Evaluation in the Secondary School, New York: Longmans, Green and Co., 1959, p. 242.

the abilities resulting from specific training or education.¹³ Tests which offer appraisal and selection potential in this category are ones which measure mathematical, verbal, reading, and supervisory judgment abilities.

Personality Tests--Personality tests are those which are designed to measure personal traits and characteristics. These include a wide variety of tests. Principal ones used in this testing area are as follows: (1) Interest Inventories--written surveys of those objects and activities from which the individual derives satisfaction, (2) Trait-Profile Measurement--the candidate's responses to questions are compared and rated against a number of scales which represent such traits as dominance, stability, friendliness, etc., and (3) Performance-Criterion Measurement--The candidate's responses on this test are used to measure, in general, whether or not his personality is like that of supervisors who have performed well on the job.

The results of personality tests must be carefully interpreted by persons specially trained for such interpretation. The obvious advantage, however, is that the potential is offered to match individuals to a particular job.

Achievement Tests--Achievement tests are used to measure general achievement and also specific achievement areas. General achievement tests consist of a battery of tests. Achievement tests in such areas as professional knowledge, technical knowledge, management philosophies and techniques, knowledge of organizational

¹³Greene et al., Ibid, p. 250

structure and staff procedures, etc. appear to offer potential for appraisal and selection use.

Summary and Conclusion.

From the discussion in this chapter it appears necessary that the navy employ a systematic appraisal and selection system. The selection system must enable management to select those officers considered best qualified for assignment to responsible jobs entailing the management of men, money, and materials--in peace and war. Such management directly will determine the success or failure of the navy's mission--projection of power from the sea in support of our national interest. Thus, such an appraisal and selection system must provide discriminating selection of officers for promotion and assignment to duties.

The magnitude of the appraisal and selection problem would seem to militate for an appraisal and selection system which would at a minimum employ a combination of all applicable appraisal and selection techniques, procedures, and methods which would, hopefully, in toto, provide an effective system that would acquit itself well according to the following effectiveness criteria:

- (1) Validity--an efficient and accurate measurement of what the system is intended to measure.
- (2) Reliability--the efficiency of the system to measure what it does measure consistently. Thus, if an appraisal procedure or technique does not consistently measure those factors desired for selection and administrative purposes, reliability would not exist in the system.

(3) Adequacy--the system must be composed of techniques and procedures which will provide an adequate measure of all of the factors, traits, and characteristics required for making selection judgments. Thus, the procedures must allow for measure of all facets such as personality characteristics, general aptitude, etc.--where such are considered pertinent to the success of the individual for performance in the duties for which he is being evaluated.

(4) Objectivity--the system must attempt to minimize subjective evaluations. Procedures should be employed which will give the best objective data from which the individual's performance and potentialities for future performance may be inferred.

(5) Practicality--the system must use methods which possess characteristics of a quite practical nature. The procedures, techniques, and appraisal devices used must be economical, have ease of preparation, administration, and scoring (reducing to usable comparative measurements).

(6) Utility--the system must possess the ability to serve definite needs in the situations in which it is used. Thus, the appraisal forms and records must serve as effective management selection tools which permit selection of those best qualified for promotion and assignment to duties of responsibility such as command of ships, squadrons, and naval stations; post-graduate education; test-pilot training; allied staffs; continuation on active duty; and augmentation into the officer corps of the regular navy.

Chapter III will trace the historical development of the naval officer appraisal and selection system, analyze the techniques, procedures, and appraisal methods contained in the system currently in use, compare the system to the system in use in the U.S. Army.

Thus, it is envisioned that Chapter III will provide the data for analyzing the effectiveness of the system and for recommendations for such improvement as can be determined necessary.

CHAPTER III

ANALYSIS OF THE APPRAISAL SYSTEM

Historical Development.

General--As was seen in Chapter I, the first recorded requirement for a formalized written officer appraisal in the U.S. Navy was provided by article 19 of the Rules, Regulations, and Instructions for the Naval service in 1818. Those regulations required that Commanding Officers, upon paying off the crew report his evaluation of the officers to the Secretary of the Navy and the Board of Commissioners. Printed evaluation forms were not provided.

Regulations for the Government of the U.S. Navy were published for the first time in 1865. For several years thereafter changes to the regulations were issued by "Regulation Circulars". The foregoing regulations indicated that three forms were to be used in reporting on the fitness of officers.

Navy Regulations in 1870 eliminated reference to the report forms indicated by the regulations of 1865. The next reference to reports of fitness on officers appeared in Regulation Circular 86, 10 September 1891. This regulation required submission of fitness reports on all officers and was the first regulation to actually promulgate printed forms for use in making the appraisal and gave detailed instructions for completion of them.

Since the first indication of the use of forms in making appraisals of performance of naval officers in 1865, the forms have changed frequently--a total of fifty different forms have been used from 1865 to 1965.¹ This gives an average of one each two years. Changes have been made in the following principal areas: (1) The number of forms in concurrent use to evaluate various categories of officers, (2) The factors rated, and (3) The physical construction, rating scales, and length of the forms. Each of the foregoing changes will be analyzed in turn.

Forms in Concurrent Use--Two forms are in concurrent use for appraisal of naval officer performance. The use of these forms is related to the rank of the officer. One form, NAVPERS 310., is used to record appraisal of officers of flag rank. The other form, NAVPERS 310W, is used to record appraisal of officers of the rank of Captain and below. This is the first time that a rank classification has been used to determine use of fitness report forms used in the appraisal system in the navy.

Initially, Regulations in 1865 indicated three forms were to be used: (1) Form 25--used to report on commanding officers of squadrons, divisions, and vessels afloat, (2) Form 26--used to report on line officers, and (3) Form 27--used to report on staff officers.²

¹Dates and Regulations taken from "History of the Officer Fitness Report, 1956", op. cit., pp. 1-5, and analysis of fitness report forms promulgated subsequently.

²See Appendix C, Figures 1, 2, and 3 respectively for a reproduction of Forms 25, 26, and 27.

Thus, in the first classification of evaluation forms, recognition was given to command afloat, other officers eligible for such command (line officers) and staff officers.

Regulation circular 86, 10 September 1891 promulgated the first printed forms to be used in the evaluation of naval officers. Two forms were provided: (1) Form A--used to report on officers in command afloat, and (2) Form B--used to report on all other officers, with no distinction made among officers in command ashore, those not in command, or staff officers.

Article 237, Navy Regulations, 1893 added a third form, Form C. Regulation Circular No. 16 of 19 August 1895 described the use of the three forms as follows: (1) Form A--for reports on officers in command afloat, (2) Form B--for reports on all other officers afloat, and (3) Form C--all officers performing staff duties.³

The three forms remained with the navy until 1909 when the three forms were reduced to two. This revision resulted in one report for evaluating officers in command, both ashore and afloat, and one for all other officers. These forms were Form A and B for the respective purposes as just cited. These forms remained in effect until 15 February 1912, when the two forms were reduced to one. This single form to report on the fitness

³See Appendix C, Figures 4 and 5 and 6 for reproductions of Forms A and B, 1891 and Form C (1893).

of all officers consisted of four pages.⁴ The length of the form was reduced by a revision to the form issued in July of the same year.

A single form for evaluation of all officers was used until the appearance of two forms in 1930--in that year a second form NAVY 443A was issued in September for use in evaluation of all officers on shore duty--thus the navy returned to the use of two forms--distinguishing between those on shore duty and those on sea duty. This distinction remained until the issuance of NAVPERS FORM 310A, in June 1945 which provided a single form for evaluation of all officers.⁵ This single form, though revised during the years in use, remained as the single form for evaluation until March of 1964 when NAVPERS FORM 310A was issued for evaluation of officers of flag rank (form 310A issued in 1945 was renumbered 310W in 1962). Thus two forms are concurrently in use, distinguishing for the first time evaluation classification by officer rank.

Through the use of specific types of appraisal forms to evaluate differing classifications of officers, the navy has apparently recognized significance in performance of duties in command afloat, command ashore, line officers, staff officers, those on shore duty, and those on sea duty. Finally the forms presently in use suggest the capability of measuring all officers

⁴See figure 7, Appendix C for a reproduction of this form.

⁵See figures 10 and 11, Appendix C for reproduction of Forms 310W and 310A, forms currently in use.

Regardless of specialty, staff, line or command functions by one individual report--the distinguishing requirement for difference in evaluation rather being the division of flag rank as compared to lower grades.

The Factors Rated--The first factors rated were those specified by Article 19 of the Rules, Regulations, and Instructions for the Naval Service in 1818. These regulations required that the commanding officer report the character of each officer in respect to four factors--sobriety, diligence, activity, and abilities. Thus the Commanding Officer was asked to evaluate the character, defined as the "sum of all qualities that distinguish a person or thing", of each officer as defined in Webster's dictionary as follows: (1) Sobriety--state of being sober; soberness, (2) Diligence--attentive to one's work, industrious, (3) Activity--physical agility; energetic action, natural functioning, and (4) Abilities--power to accomplish things; skill in doing; capability, capacity.

Regulation Circular No. 1, 1865 introduced forms 25, 26, and 27 to be used to evaluate Commanding Officers, Line Officers, and Staff Officers respectively. These forms were not individual forms; that is, all officers in the command being reported were simply listed in sequence on one of the appropriate forms. Table 6, page 45 tabulates the factors which were rated in forms 25, 26, and 27. The tabulation provides a comparison between the rated variables which were considered significant for officers in each of the foregoing categories. It should be noted that the traits of capacity and zeal remained in the evaluation of the staff

TABLE 6

FACTORS RATED IN FORMS 25, 26, and 27^a

Commanding Officers Form No. 25	Line Officers Form No. 26	Staff Officers Form No. 27
Commanding: Squadron Division Vessel		
Impressions as to:	Impressions as to General Qualifications:	
Conduct Morals Health	Conduct Morals Health	Conduct Morals Health
Condition and Efficiency of:	Impressions as to Professional Aptitudes:	
Squadron Division Vessel	Seamanship Navigation Steam Gunnery	Capacity Zeal General Information
Qualifications for Command:	Impressions as to Aptitude for:	
Professional Skills and Attainments	Infantry Drill General Information	
	Languages Spoken Recommendations	Languages Spoken Recommendations

^aSource of Data: U. S. Navy, "History of the Officer Fitness Report," Research Report 56-2, NAVPERS 18494, 1956.

officers, but technical and professional qualifications began to appear in the evaluation of the line officers. Three traits remained the same for all officers--conduct, morals, and health.

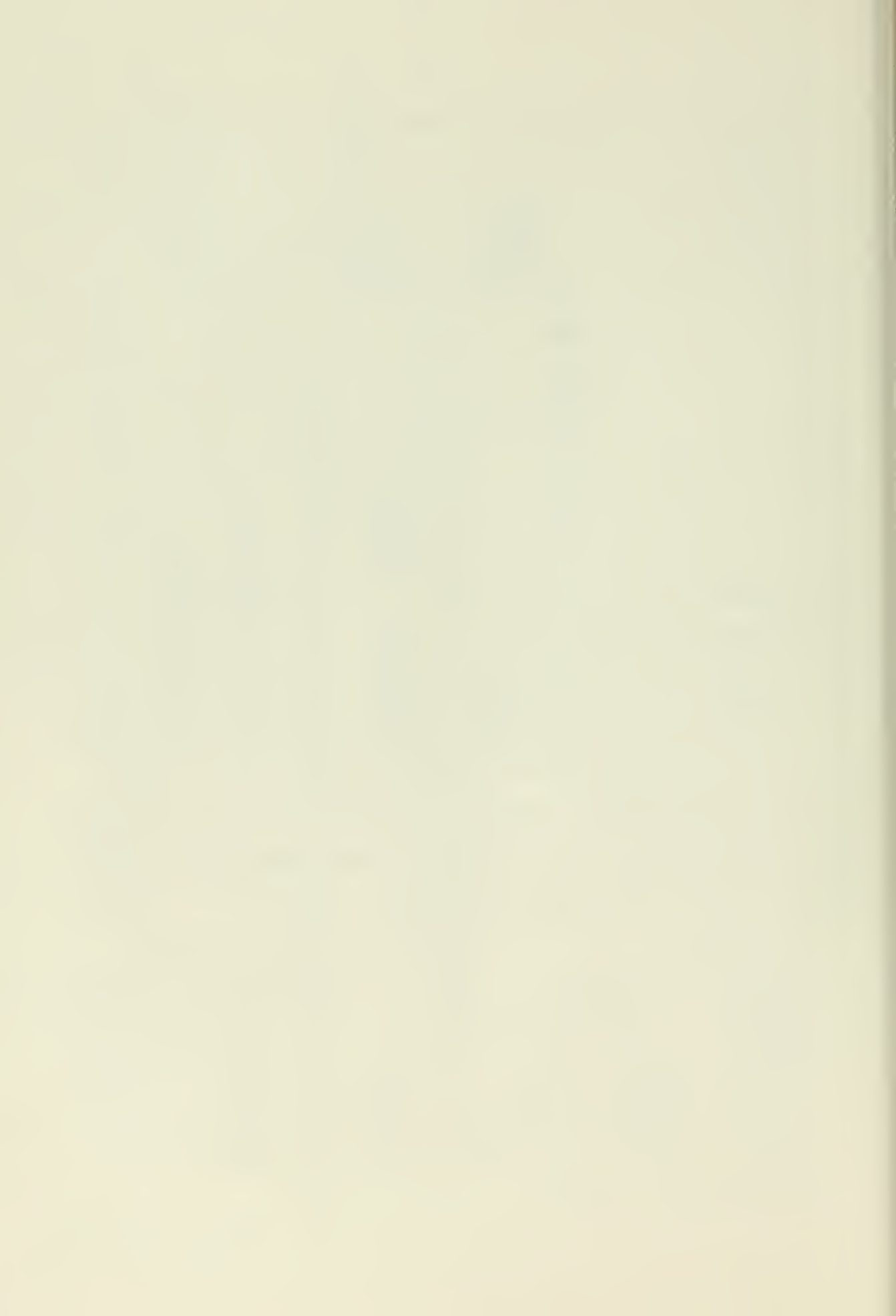
The first printed appraisal forms appeared in 1891. Two forms were provided, Form A and Form B. An individual form was required to be submitted on each officer. Thus this began the collection of individual fitness report record for each officer in the navy. As will be recalled, Form A was submitted on officers in command afloat and Form B for all other officers. Reflecting upon the background information in Chapter I, the reader will recall that in 1885 the establishment of the Naval War College gave recognition to the importance of the introduction into the navy of "armored ships, swift cruisers, rams, sea-going torpedo boats". Additionally, the battleship Maine was commissioned in 1890. Thus it would appear that the separation of the fitness reports in the aforementioned manner was, at least in part, related to the primary weapons systems emerging upon the scene at that time. Forms A and B were one page forms divided into eight and ten rating items as follows:

Form A

1. Ability to command.
2. Manner of performing duties
3. General Conduct.
4. Sobriety.
5. Health.
6. Condition and Efficiency
of command.

Form B

1. Professional Ability
2. Attention to duty.
3. General Conduct.
4. Sobriety.
5. Health.
6. Efficiency of man
under his special
control.



all ship officers afloat, and officers ashore.

Appendix B provides a classification and frequency tabulation of the various factors which have been rated on the fifty fitness report forms which have been used in the navy. In many cases, the wording of factors or phrases was different but of the same general meaning, these were combined under a general descriptive phrase or adjective. Thus, eighty factors have been tabulated, these have been classified into six general areas. This general classification and a tabulation of these factors by classification shows the following number of factors rated since the inception of the system and those currently rated in form 310W (Report on the Fitness of Officers, all officers of the grade of Captain and below).

Classification of Factors	Number of Factors	
	All Forms	Current Form
1. Personal Traits and Characteristics	31	24
2. Administrative and Management	20	6
3. Technical Qualifications	13	4
4. Professional Qualifications	10	4
5. Physical Qualifications	10	1
6. War and Emergency Reactions	3	1

Of the eighty factors which have been rated since the beginning of the system, only two have occurred on over fifty per cent of the forms which have been used in the officer appraisal system. These two factors are as follows: (1) General bearing and military appearance, and (2) Considering the possible requirements of the naval service, in peace and war, have you any objection to said officer being under your immediate command?

both of the foregoing factors appear in the current officer fitness report form. NAVPERS 310N, Report on the Fitness of Officers. As will be recalled the latter factor made its appearance in 1893. In the same year the factor "general conduct" was expanded to include "general conduct and bearing."⁸ The first specific appearance of the former factor, however, appeared in Form B, 1900 as one of two factors contained in item 5 of the fitness report as follows:

5. (a) General conduct.

(b) General bearing and military appearance, including correctness and tidiness in uniform.⁹

A frequency distribution of the eighty factors which have been rated provides the following frequency of measurement for the eighty factors, both since the beginning of the system and the frequency of those factors occurring on the current form:

QUANTILE	NUMBER OF ITEMS IN THE QUANTILE	
	ALL FORMS	CURRENT FORMS
Upper.....	2	2
3rd.....	6	5
2nd.....	20	11
Lower.....	52	13

The following factors fall in the Upper quartile as to frequency of measurement: (1) General bearing and military appearance, and

⁸Form B, 1893, op.cit., Item 3.

⁹U.S. Navy, "Report on the Fitness of Officers", Form B, 1900. Issued under article 254, Navy Regulations, 1900.

(2) Contraband and similar offenses, and (3) Naval Service, in cases where, now, no objection of said officer being made, was immediately required.

Factors which occur in the next highest quartile (in all forms) are largely personal traits and characteristics as follows: (1) Judgment, (2) Neatness of Dress and Appearance, (3) Cooperation, (4) Initiative, (5) Leadership, and (6) Health.

Construction, Rating Scales, and Length of Forms--Until 1865 fitness reports were required on naval officers but the regulations governing the submission of them did not specify a specific rating scale for use. Initially, forms 25, 26, and 27 were completed by reporting officers using their own judgment in wording the answers of the items asked. The first standard rating scale was introduced in 1865. In that year a five point numerical rating scale was introduced as follows:

It is with the columns for "conduct, health, and morals," with the other columns under the general heads of "impressions", in Form Nos. 26 and 27, will be filled up by numbers, so that No. 5 shall be equivalent to "excellent", No. 4 to "very good", No. 3 to "good", No. 2 to "indifferent", and No. 1 to "bad", and these reports will be sent to the Bureau of Navigation.¹⁰

Article 273, Navy Regulations of 1893 reduced the rating scale to three word descriptions--"Excellent", "Tolerable", and "Not Good". The grade of "Not Good" was considered unsatisfactory and the report was required to be referred to the officer reported on for comment. This requirement has existed subsequently in all reports. By 1894 the word grading

¹⁰U.S. Navy, Regulation Circular No. 1, 1865, Article 44.

scale was expanded to include "tolerable"--it also, however, was considered unsatisfactory as well as "Not Good". In 1910, Navy Regulations revised the rating method and again included a numerical scale related to its word description as follows:

Excellent	3.5-4.0
Very Good	3.0-3.5
Good	2.5-3.0
Indifferent	2.0-2.5
Poor	1.0-2.0
Bad	0.0-1.0

The lower three categories in the foregoing rating scale were unfavorable. The numerical spread applied to each word description allowed discrimination within each word classification.

The early forms were constructed to allow "open-end" fill in answers and short narrative descriptions as will be noted by an examination of the reproductions of these early forms contained in appendix C. Note figures 4, 5, and 6 for examples.

Figure 8, appendix C is page 1 of N.Nav 443, Report on the Fitness of Officers, 1924. This was the first attempt to construct the form to enable an easy marking of factors. This was achieved by designing the form so as to allow placing an appropriate mark in a selected column so arranged as to bear a given rating weight. Figure 9, appendix C, page 2 of the fitness report introduced in 1923, represents a further refinement of the construction of the form to allow for easy rating. This type presentation (which combines relative position on the form as a rating scale with word descriptions) has continued in use for many years, and is used on the form in current use. This technique has resulted in ease of report preparation for evaluation

forms subject to such a rating procedure. The form in 1908 used four main graduations for each variable graded, which ranged from "best" on the left to "poorest" on the right. This arrangement has also continued in use--the left column is the "1 out of 100" column in the present report form.

The longest forms were used in 1912--this was the year that one form was introduced to evaluate all officers. The length of the form was four pages. Figure 7, appendix C is a reproduction of this form. From examination of the form it is apparent that many items were added which were meant to apply only to those officers concerned with specific measurements, the total combination allowing measurement of all classifications of officers. Item 19 of the form contained a multitude of special qualifications such as Fire Control, Ordnance, Recruiting Officer, etc. Subsequent forms in use have reduced the number of items and moved toward the trend to measure common factors which appear to indicate success in past performance and potential for the future.

The current forms in use are of two pages in length. The form used to evaluate the majority of the officers on active duty contain the convenient rating scale, coupled with a narrative section. The form used for evaluating flag officers (note from the figures contained in Table 3, page 23 that only 250 flag officers are on active duty) is composed entirely of narrative evaluations. This arrangement appears to meet the requirements of practicality and at the same time provides effective evaluation forms.

The Naval Officer Appraisal And Selection System.

Paragraph 1--The criteria and elements of an appraisal system were outlined and discussed in the preceding chapter. The fundamental elements of an appraisal system were considered to be the utilization of minimum qualifications, supervisory appraisals, written tests, and interviews--the measurement of effectiveness of the system was stated to be the manner in which these elements were effectively combined within the system to assure that the measurements were valid, reliable, adequate, objective and at the same time made in a practical manner to provide a useful result. This section will examine the elements in the current system in use in the navy. This examination will provide the means to determine the effectiveness, at least in part, of the system.

The elements of the system will be discussed in the following manner: (1) Minimum Qualifications and Input, (2) Tests, and (3) Supervisory Appraisal and Interview. Minimum qualifications and input are combined in that they are intimately related. Supervisory appraisal and interview techniques are combined for discussion because of the unique manner in which they are used in the naval officer's appraisal and selection system.

Minimum Qualifications and Input--The input to the naval officer corps comes from several sources--from the Naval Academy, from the enlisted ranks of the navy, and from direct input from civilian sources. In all cases the quality of the input is controlled by the utilization of minimum standards. All inputs into the officer corps are controlled by minimum standards in

three general areas--formal educational level, physical qualifications, personal moral and conduct standards.

The civilian input must meet the following requirements:

(1) Male citizen of the United States, (2) Baccalaureate degree from an accredited college or university, and (3) Physical qualifications, including age limitations.¹¹

Inputs into the naval academy (including personnel from the enlisted ranks of the navy) and those enlisted personnel inputs into other programs leading to a commission as an officer in the navy, must meet similar minimum qualifications.

Minimum qualifications are also used as a control device for entrance into specific programs within the naval officer corps structure. For example, Bureau of Naval Personnel Instruction 1520.85A sets the minimum qualifications for officers or officer candidates to enter the training program leading to designation as a Naval Aviation Observer. Among other requirements, the instruction specifies, "possess a bachelor's degree, or equivalent, from an accredited college or university".

In all cases candidates for a program leading to a commission in the naval officer corps must receive favorable character recommendations from responsible individuals.

Thus, the selection system currently in use in the navy, employs a program of minimum qualifications as an essential element.

¹¹U.S. Navy, "OCS Campus to Quarterdeck", Pamphlet issued by the Officer Candidate School, Newport, R.I. Washington, D.C: Government Printing Office, 1963, p. 24.

Tests--Several types of tests are used in the naval officer appraisal and selection system. Tests are used to determine partial eligibility for entrance into the officer corps and for selection to various special programs within the officer corps structure. Tests have not, however, been used to determine selection for promotion in rank within the navy.

Perhaps logically the first test to consider is the "Officer Qualification Test". This test is administered to candidates applying for a commission or for a program of training leading to a commission. The officer qualification test is a ninety-minute general intelligence test which partially determines eligibility.¹²

A new test was added in January, 1965. Beginning in January 1965 a standardized Department of Defense test is administered to each entrant. This test is called the "Defense Officer Record Examination". It is a general mental aptitude test. The results of this test will be used to determine how newly commissioned officers compare with college graduates as a whole and how officers who stay beyond obligated service compare with those who don't. Navy Times, in an article titled "All Incoming Officers Getting New DOD Test" stated that the results of the test will not, as the defense directive says, be used as a technique for the selection of officers".¹³

¹²Letter from W.S. Belvin, LTJG, USNR, Naval Recruiting Officer, U.S. Navy Recruiting Station, 631 "E" St., N.W. Washington, D.C., February 18, 1965.

¹³Navy Times, February 24, 1965, p. 1.

Tests are also used within the officer appraisal and selection system in the navy to screen officers for special programs. For example, an achievement and aptitude test is used to establish basic entrance qualifications and selection into the Aviation Electronics Officer's Course. This is a ten months course of instruction given at the Naval Air Technical Training Center, Memphis, Tennessee. Similar tests are also used on other selection areas, such as in selection for training leading to qualification and designation as a Naval Aviation Observer. The Aviation Qualification Test (AQT) is administered to candidates for the latter program. Bureau of Naval Personnel Instruction 1520.85A specifies that a minimum score of three is required on the foregoing test in order for a candidate to be considered eligible.

One of the major selection requirements within the naval officer corps is the selection for promotion in rank. As will be recalled, it is necessary to select between 15,000 and 18,000 officers for promotion each year--the requirement that a forced attrition must be applied to those eligible makes this selection area a critical one. This is a critical problem both from a practical as well as ethical viewpoint.

Tests have not been used in the navy as a technique for selection of officers for promotion. Prior to World War II, tests, (achievement tests) were used to establish basic technical and professional qualifications after selection for promotion--these tests were therefore qualifying tests designed to assure that minimum technical and professional qualifications were



possessed by the officer before advancing him to the next higher rank.

Similar qualifying tests were also used in the navy in 1949 and 1950. The test used in 1949 was limited in scope. This test examined the officer in executive management and administrative subject areas. The test in 1950 was a three-day examination which included the foregoing area covered in 1949; and, additionally, technical and professional subject areas. These tests were discontinued after 1950. For a period of time after 1950, promotion was based upon selection of the officer upon his fitness report record and his basic professional and technical qualifications established either through duties performed, courses of education received at the various service schools and colleges, or by his studies through correspondence courses.

By the end of the decade, the navy shifted to selection by fitness report record. The fitness report record is supplemented for selection purposes by a record of duties and studies which the officer under consideration has performed.

The navy has not used the various personality and interest tests within its appraisal and selection program. The fitness report form currently in use, however, measures several personal traits and characteristics--by the reporting senior rather than by the individual himself as is the case in the personality and interest survey type tests.

From the foregoing discussion it is seen that general intelligence tests, general and specific aptitude tests, and



achievement tests are being used in the navy's officer appraisal and selection system. It is apparent that the tests are used in connection with other measurement and evaluation means. This concept appears to meet the criteria of an effective system--use of all possible and applicable techniques in combination to provide an effective selection program. An exception might be the use of such tests as the aptitude and achievement tests used in selection for entrance into technical training programs such as the Aviation Electronics Officer's Course. Such tests, however, have been in use for a considerable period of time and have been determined to possess a high degree of validity and reliability--such validity and reliability having been determined by correlation of the success or failure of candidates with tests results.

Supervisory Appraisal and Interview--The interview as a selection technique is used only indirectly in the appraisal and selection system for selection of naval officers for promotion. It is used in a more direct manner for selection of candidates for commissioning in the officer corps and for selection into the various programs available to the enlisted personnel which lead to a commission.

Bureau of Naval Personnel Instruction 1611.12 which details the procedures for preparation and submission of the fitness report on each officer in the navy provides the basis for an indirect interview program of appraisal. The instruction states that: "It is expected that reporting seniors will exert positive leadership by discussing weaknesses when detected rather than

waiting until the occasion arises for fitness report submission.¹⁴ Also the instruction specifies that if an officer's performance is marked as "declining" the circumstances must have been discussed with the officer reported on and the discussion reflected in the comments section of the fitness report (Section 21).

Thus, while there is no formal requirement that an interview be conducted coincident with the preparation and submission of periodic evaluation forms on each officer in the navy, the instructions governing the program provide the basis for the inclusion of such a program--it requires an interview under certain circumstances as the foregoing shows.

In contrast to the fitness report program, the interview is more directly a part of the appraisal and selection process in selecting candidates for the various programs leading to a commission in the officer corps. In these programs, an interview is required as a part of the selection process. The results of the interview become a part of the candidate's application. Again, however, this is a specialized use of the interview and not a periodic appraisal interview of each officer.

The use of the interview in the naval officer appraisal and selection program appears to be properly placed into the program. The size and scope of the selection program would appear to preclude from the standpoint of practicality a more frequent or formal periodic interview of all officers. Thus, it appears from the practical and utility standpoint that the

¹⁴SUPERS INSTRUCTION 1611.12, op. cit., p. 17

avy's reliance upon the written supervisory appraisal form--the fitness report--as its primary appraisal and selection technique is a sound concept.

The first part of this chapter traced the development of the fitness report form. As was shown the form has been changed frequently--such changes have been made in an attempt to provide more objective and valid measurement. The present system makes use of two forms. The form which is used for the appraisal of flag officers contains only narrative evaluations in the following areas: (1) Professional Performance, (2) Personal Qualities, (3) Promotional Potential, and (4) Future Assignment. As will be recalled from earlier discussion, promotion to flag rank will be attained by those selected after completion of about 27 years commissioned service. Each officer being considered for selection to flag rank will have had his performance recorded over an extensive period of time in the report which is used to report on all officers below flag rank. Thus, a significant record of individual trait and performance factors will have been rated on each of these officers during this period of time. The results of the narrative flag officers fitness report, supplemented by this accumulated record, is considered suitable and adequate for selection and duty assignment purposes.

The flag officer's fitness report is used in the periodic appraisal of the 250 flag officers. NAVPERS Form 310W, in appendix C is used to record periodic appraisal of the remaining 6,150 naval officers on active duty. Fitness reports are submitted annually on each officer serving in the ranks of Lieutenant

through Admiral. Semiannual reports are required on officers junior in rank to Lieutenant. Additionally, reports are required on each officer when he is detached from his assigned duty station, when the officer's reporting senior is detached, and upon special occasions. The requirement for submission of reports under the foregoing conditions provides each officer with an appraisal record which will contain appraisal reports from several reporting seniors, as well as several reports from a given reporting senior. The multiplicity feature of the fitness report system is a valuable feature. The system allows "personalities" of one reporting senior or "personality conflicts" between a reporting senior and an individual officer to be "balanced" over the long-run.

The current NAVPERS Form 310W contains 23 sections. As will be noted from an examination of the form, several of these sections contain personal data on the officer, duties performed, employment of the command during the reporting period, the occasion for the report, and various identifying data, etc. The sections of the report most relevant from the standpoint of appraisal are as follows:

14. Duty Assignment.
15. Overall Evaluation.
16. Desirability.
17. Closeness of the observation.
20. Leadership.
21. Comments, including minor weaknesses, adverse comments, whether the officer has seen the report, and the trend of the officers performance.

The Present Rating Scale--Word descriptions are used to record officer appraisal in four sections of the fitness report. The word descriptions are aligned in columns which allows appraisal by placing a mark in the appropriate "box". A five point rating scale is provided to assign marks in sections 14, 15, and 16. Four of the five ratings in section 14 (Duty Assignment) are further divided into upper and lower graded sections. Section 15 (Leadership) is provided with a seven word scale. The word descriptions which are used tend to force the recorded ratings to gravitate toward the higher ratings--few ratings fall in the "acceptable and marginal" boxes--that this discrimination has been a problem in the navy is illustrated by the following comments made by the Chief of Naval Personnel in a memorandum to all officers in 1962:

Although the new form has been in use only a short time, many marking seniors use the one-in-one-hundred rating block even though such marks...fitness reports must be objectively prepared in a just and equitable manner...over assessment of the average officer leaves no scope for the brilliant one.¹⁵

That the same problem still exists is indicated by the comments of the present Chief of Naval Personnel in his remarks to reporting seniors in October 1964.

The spread of figures in 15(b) gives an indication of your marking standards--easy, tough or objective. This is possibly the most important section of the report.¹⁶

¹⁵Smedberg, Memorandum to All Officers, Op. Cit., p.1.

¹⁶The Officer Personnel Newsletter, Op. Cit., p. 2, Section 15(b) is a forced rating scale which is designed to force a distribution or "discrimination" between officers rated.



The form is designed to provide an easy, practical method of recording evaluations; however, it appears that the use of word descriptions coupled with a limited means to discriminate evaluations (5 to 7 ratings) is not providing the desired "spread".

Rating Variables--The Chief of Naval Personnel has stated the one most significant factor in selection is the "officer's performance in billets assigned to him". Section 14 of the fitness report provides for an evaluation of the officers performance in the following assignments: (a) Present Assignment, (b) Shiphandling and Seamanship, (c) Airmanship, (d) Collateral duties, (e) As a Watch Officer, (f) Technical Specialty, (g) Command Potential or Ability, and (h) Administrative and Management Ability. A brief description of each of the rated variables is given in the Bureau of Naval Personnel Instruction which governs the preparation of the fitness report. Section 10 (Leadership), in contrast to section 14, has each trait defined on the report itself. This latter feature should provide a more easily used form, and at the same time assure that proper definitions of terms are readily available to the officer preparing the report. For example, "Administrative and Management Ability" is defined in the instruction to include "observed effectiveness in the utilization of men, money and materials, and the implementation of improved management techniques and procedures...and efforts in reducing paperwork".¹⁷ If the officer preparing the report fails to review the instruction when these factors might not be considered.

¹⁷ BUPERS INSTRUCTION 1611.12, op.cit., p.14



Section 15 of the report provides the means for an over-all comparison of the officer reported on with others of his grade and length of service. Additionally, the section requires a "forced-rating" of all officers considered. This section is used as a means to provide a discriminate spread in the rating of the officers. The earlier quote from the Chief of Naval Personnel indicates that it is not as effective as it could be.

Section 16 (Desirability) reflects an evaluation of the officer for performance in operational, staff or administrative, and foreign duty. This section provides an evaluation of the officer's professional and technical competence, and the adaptability of the officer to the duties listed.

Section 20 (Leadership) includes an evaluation of the following traits and characteristics: (1) Professional Knowledge, (2) Moral Courage, (3) Loyalty, (4) Force, (5) Initiative, (6) Industry, (7) Imagination, (8) Judgment, (9) Reliability, (10) Cooperation, (11) Personal Behavior, (12) Military Bearing, (13) Self-expression, Oral, and (14) Self-expression, Written. The traits measured in this section of the report provide a means to infer the officer's suitability for various assignments. For example, self-expression, both written and oral, are essential skills required of staff officers. Thus, the recorded evaluations in these areas should give a good indication of the officer's suitability for assignment to joint staffs.

The instructions and the report form indicate, as has been indicated by the background information in this paper, that the



officer is concerned with utilization of men, money, and materials. The only specific reference to "men" is in the instruction under the definition of administrative and management ability. The manner in which an officer is able to "utilize the men" under his control would appear worthy of more direct evaluation.

The fitness report record enters into each and every personnel action involving an officer's selection and assignment. Selection of naval officers for promotion to the next higher rank, as well as selection for command, service college attendance, post-graduate education, and several other special purposes is by formal selection board action. Selection boards convened for the purpose of selecting officers for promotion are the most formal and are governed by the most rigid regulations and procedures. Boards convened for the other purposes cited are less formal, but in general utilize the same records as promotion selection boards for making their determinations.

Selection Process--The selection board is composed of nine officers who are appointed by the Secretary of the Navy. The members of the board are senior to the officers being considered for promotion and the board membership is composed of officers with specialty backgrounds roughly in proportion to those being considered for promotion. Both the Secretary of the Navy and the Chief of Naval Personnel make certain recommendations and provide general guidelines for selection criteria to be used in the selection process. The board may, however, proceed in any manner it desires--to completely disregard the guidelines provided them appears unlikely, however.



The record of each officer being considered is summarized and provided to the board for its use. This summary takes the form as shown in the "Officer Summary Record", a reproduction of this form is shown in figure 14, pages 67 and 68. It will be noted by comparison of the fitness report form and figure 14 that some of the rated factors of the fitness report are transposed to the "Officer Summary Record". These rated factors are "weighted", a total weighted score is prepared for each fitness report. The preparation of the Officer Summary Record, including the calculation of the weighted scores, is prepared by clerks in the Fitness Report Section of the Bureau of Naval Personnel. The relative weights of the rated variables are not contained in the fitness report form nor in published instructions.

The fitness report form used in the U.S. Marine Corps is quite similar to the report used in the U.S. Navy for naval officer appraisal. The Marine Corps also uses a summary of the officer's record for selection purposes. This summary is known as the "Master Brief Sheet". A copy of the master brief sheet is provided as figure 15, page 69. ^(not included in this thesis) The astute observer will note that this sheet is designed for preparation by electronic data processing means.

The officer summary record also contains a summary of information on each officer obtained from sources other than his fitness report record. For example, education, medals, and awards, correspondence courses completed, and special qualifications as determined from the fitness report record; and, additionally, qualifications possessed by the officer and

FILE NUMBER

STATION	DUTY	REPORTING SERIES & GRADE	PRESENT ASSIGNMENT			DESIGNATION	COMPARISON	QUALITIES			REMARKS
			1	2	3			1	2	3	
20											
21											
22											
23											
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28											
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Fig. 14.--Continued.

recorded and reported by other administrative means.¹⁴

Table 7, pages 71 and 72 contains a copy of the "Active Duty Officers Master Magnetic Tape Record Items". This is the record currently maintained on each officer in the Bureau of Naval Personnel, Manpower Information Division. A brief examination of the record reveals that much of the data required for preparation of the summary record is now in the navy's electronic data processing system. The additional selection factors, fitness report ratings, could be easily added to the record.

¹⁴The information on the selection process was prepared from facts gathered from an interview with the Head of the Fitness Report Section of the Bureau of Naval Personnel, October 23, 1964.

TABLE 7

TABLE 7 --Continued

Education & Training		Aviation	
PAST DUTY STNS. (MAX 7):	COLLEGE (MAX 2):	FLIGHT STUDENT INDICATOR	
ACTIVITY TITLE	NAME	FLYING STATUS	
DATE REPORTED	EDUCATION LEVEL	PRIMARY ARMED DESIGNATION	
ALL ATTACHED	MAJOR	TYPE PILOT TRAINING	
DEPLOYMENT AREA	SPECIALTY	TYPE PILOT EXPERIENCE	
STATUS: ON, DEPLOYED	SPONSOR	AFA DESIGNATION DATE	
DATE REPORT	YEAR COMPLETED	LTA DESIGNATION DATE	
STATUS: ON, DEPLOYED	EXCEPTION INDICATOR	NAO DESIGNATION DATE	
QUOTA ASSIGNED & NUMBER		NAO CODE 1	
MOS SERVED		NAO CODE 2	
		NAO CODE 3	
		OPNAV FORM 3760-4 DATE	
	FOREIGN LANGUAGE (MAX 2):	OPNAV FORM 3760-4 TITLE	
	ABBREVIATION	PILOT HOURS TOTAL	
	PROFICIENCY CODES ¹	5 YR PILOT HOURS	
	EXCEPTION INDICATOR	JET PILOT HOURS, TOTAL	
		HELICO PILOT HOURS	
		PLANE COMMANDER HOURS	
	NAVAL SCHOOLS (MAX 5):	CLVS, TOTAL	
	TITLE OF COURSE (CODE)	INSTRUMENT RATING	
	COMPLETION DATE	SERVICE GROUP	
	DURATION (WEEKS)		
		MODEL AIRCRAFT (MAX 5):	
	LANGUAGES RESERVED FOR	CVLS	
	PROFICIENCIES	HOURS FLOWN	
	READING	PLANE COMMANDER DESIG.	
	WRITING	YEAR LAST FLOWN	
	SPEAKING		
	COMPREHENSIVE		

¹Source of data: U. S. Navy, Bureau of Naval Personnel, Manpower Information System Division.

CHAPTER IV

COMPARISON OF NAVY AND ARMY APPRAISAL REPORTS

This chapter will examine briefly the development of the officer appraisal report currently used in the U.S. Army and compare the army's form, The U.S. Army Officer Efficiency Report, with the navy's form, Report on the Fitness of Officers. The purpose of this comparison is to provide means for detecting procedures in use in the army which, if employed in the navy's appraisal and selection system, might improve naval officer appraisal and selection.

Development of the Army Officer Efficiency Report--The U.S. Army has employed an officer appraisal and selection system for many years. Briefly, the history of the officer efficiency report used in the army is described as follows:

...In our own Army the practice of requiring an annual efficiency report on each officer began early in this century. A standard rating scale was first employed during World War I.

The present Efficiency Report Form, however, is a direct descendant of the first Form 67 adopted in the early 1920s. It provided the first Army-wide standards or "yardsticks" by which all raters could assess the qualifications and achievements of their officers. In "scoring" this report, the rater chose the appropriate adjectiveval rating from a group of five standard ratings, ranging from "Unsatisfactory" to "Superior". Later a revised form 67 replaced the adjectiveval ratings with a numerical scoring procedure, but space was provided for raters and endorsers to supplement the numerical score with brief descriptive comments of their own.

.....

When the validity or acceptability of any system becomes questionable because of changing conditions, the system must be brought up to date---For the past several years evidence has been growing that the efficiency reporting system was in need of substantial change...In 1955 work began on the development of a reporting form and philosophy in keeping with present-day requirements. The revised form will be instituted beginning with the annual rating cycle in September 1961.¹

From the foregoing brief history it is apparent that the U.S. Army Officer Efficiency Report has proceeded through about the same developmental stages as has the Naval Officer Fitness Report. An examination of the Army's report form, figure 12, contained in appendix C will reveal some marked similarities to the navy's report form. Also some significant differences will be noted.

Comparison of Forms--The Army's report form is divided into eight main parts. Several of these parts contain information similar to the navy form. Part I of the form contains almost the same information--personal data on the officer and duties he has performed. Likewise, part IV contains an evaluation of similar personal traits.

There are, however, significant differences in the forms worthy of consideration. It will be immediately noted that the army provides for marking by a "rater" and an "indorser"--also it provides for approval or modification by a reviewing officer.

¹U.S. Army, "The New Officer Efficiency Reporting System", Department of the Army Pamphlet 355-25, Washington, D.C.: Government Printing Office, 1961.

Thus, in contrast to the navy's form, it provides for action at the closest level of supervision, the second level of supervision, and finally at the third level of supervision by the reviewing officer. The navy recognizes that in preparation of fitness reports reporting seniors may initially use a similar system for the preparation of the reports, but in this regard current Bureau of Naval Personnel instruction state:

Commanding officers frequently require executive officers and heads of departments to report to them on the performance of officers serving under their supervision. All such reports are for the use of the commanding officer in making his report on the fitness of all officers under his command and shall not be forwarded to the Chief of Naval Personnel.²

A second major difference in the two forms is in the rating procedures which are used. The army's form provides in the form itself the relative weights used to score the various variables. The officer preparing the report assigns and calculates the overall score assigned to the officer rated (see part IV of the form, figure 12, appendix C and parts V, VI, and VII of the report). The rating and scoring procedure used by the army constitutes a major difference between the army and navy system of officer appraisal. The navy form contains no indication of the relative weights accorded to the various variables which are rated, nor is this information found in the applicable Bureau of Naval Personnel Instructions. Rather, these weight factors abound in secrecy--those defending this

²BUPERS INSTRUCTION 1611.12, op. cit., p. 9

concept claim it makes for a more objective evaluation.³ It could appear, however, that if a reporting senior is not fully aware of the proper weight of the various variables, then his valuation of the weights will be as he views them--certainly variable standards must prevail under such a concept.

The grading scale used by the army in its Officer Efficiency report allows for a finer discrimination in the assignment of some ratings. Section VI, for example, allows for a wide range of numerical grading. The rating of variables is separated into distinct categories. The various categories are accorded different "weights". Significant distinctions are explained by the following quote:

The 6 adjectival ratings in the left-hand column of part VI are defined for efficiency reporting use in AR 623-105. These adjectives are not exactly matched with those used in the corresponding steps of part IV. The intentional variance emphasizes the distinction between the subjective evaluations of personal qualities contained in part IV and the objective assessment of demonstrated performance that is the major element of part VI.

.....
The division of part VI into the two sections headed (1) Overall Demonstrated Performance and (2) Estimated Potential is significant. It is a reminder that the main purpose of the report is to evaluate demonstrated performance during the rated period. This is emphasized by the relatively higher scoring weight given to the ratings under demonstrated performance, compared to the ratings under estimated potential.⁴

³The philosophy expressed in this section was obtained from interviews with civilian and military personnel in the Bureau of Naval Personnel who were concerned with using the fitness reports for administrative action or in various phases of administration and selection and detailing process of naval officers, October, 1964.

⁴Department of the Army Pamphlet 355-25, op. cit., p. 10.

The navy's appraisal form combines demonstrated performance and estimated potential into one rated factor. For example, the instructions which outline the procedures for preparation of the navy's fitness report states that : "The mark in Administrative and Management Ability should not only reflect observed performance in this area but also should take into account the reporting senior's estimation of the officer's potential for further development in this area."⁵ A single mark to evaluate two distinct areas such as the foregoing does not appear to provide a valid measure of either variable, nor does it appear that a composite grade would provide a valid measure of the two variables.

⁵BUPERS INSTRUCTION 1611.12, op. cit., p. 14.

CHAPTER V

SURVEY OF OPINIONS OF THE NAVAL OFFICER FITNESS REPORT AND SELECTION SYSTEM

Mandell and Greenberg, in discussing selection of supervisors in the U.S. Civil Service, proposed three general criteria to test the effectiveness of any supervisory selection program. Under each criteria, they listed several questions--they assert that a favorable answer to all of the questions must be the goal of an effective program. An examination of the criteria which they propose indicates that the criteria are quite applicable to the navy's officer appraisal and selection program and that the answer to several of the questions can only be obtained by soliciting a value judgment from those affected by the system--a group of naval officers. This chapter contains the results of a survey of opinion on the effectiveness of the naval officer fitness report and selection system. The survey was conducted by providing a questionnaire to a sample group of naval officers on active duty. The replies obtained from them are tabulated in this chapter and are designed to provide an answer to the following applicable question posed by Mandell and Greenberg:

The first criterion is, of course, the quality of those selected. Are the best in the area of competition coming out on top? What is the quality of those selected? Then come the administrative criteria. Is management accepting the program? Are there unreasonable delays? Are the program costs less than the values received? Are the best employees competing? Is the program providing an incentive to ambitious employees to do a better job?

Finally and equally important were the human relations criteria. Do the employees feel that the plan gives them a fair chance of getting ahead? Do they like the supervisors produced by the plan?

The respondents were requested to rate various variables on a 0 to 4 numerical scale and to fill in answers to certain questions. The zero rating implied no value, the remaining 0 to 4 rating was used to reduce the results of the survey to a per cent rating. This conversion was considered to provide a more easily used measure.

The conversion of the results was performed as illustrated by the following example:

<u>Rating of Item</u>	x	Number Rating Item	Weighted =Total
0		0	0
1		4	4
2		8	16
3		2	6
4		<u>4</u>	<u>16</u>
	Totals	14	42

$$\text{Then: } \frac{42}{14} = 3.0$$

$$\text{Then: } \frac{3.0}{X} = \frac{4.0}{100}$$

Finally, then: $X = 75\%$; or rating of 75% Effectiveness.

Analysis of the Survey--The following is a tabulation and analysis of the results of the "Survey of Opinions on the Naval Officers Fitness Report and Selection System";

1. Respondents, personal data:

LT through CAPT, 7 to 22 years of commissioned service.
U.S. Navy, line and staff corps officers.

2. Fitness report writing experience of respondents:

Dept. Hd.--67, XO--13, Reporting Senior--20, None--7

3. The rated effectiveness of any formal training received by the respondents to assist them in writing fitness reports:

17.6

¹Mandell and Greenberg, op. cit., p. 45.

The majority of the officers had received no formal training in appraisal theory or instruction in writing fitness reports. This was considered by them to be a major weakness of the system.

Informal training consisted of reading BUPERS INSTRUCTION 1611.12 and briefing by reporting seniors.

4. Could we have an effective officer corps without the use of a fitness report system?--NO.
5. Would the army system of multiple supervisor ratings provide:
 - a. a more objective and fair evaluation: 28 Yes, 72 No
 - b. do you recommend such a system for the navy: 36 Yes, 64 No
6. Has any reporting senior shown you your fitness report: 64 Yes, 36 No

If yes, your reactions: Adverse--0

Motivated to Improve--56, No Reaction--22, Pleased--22

7. Should the fitness report be shown to the officer reported on:

Optional 50, Yes 28, No 22

8. Factors considered important in selecting officers for assignment to billets foreign duty (allied staffs), Joint Staffs, and Command:

Professional knowledge	78	Human skills	21
Management skills	36	Motivation	21
Judgment	35	Leadership	20
Personal traits	35	Initiative	15
Performance	30	Character	14
Language Abilities	28	Tact	14
Experience	28	Adaptability	14
Staff abilities	28		

The following factors were reported with a frequency of 10% or less:

Integrity	Expertise	Force
Reliability	Capacity	Loyalty
Imagination	Cooperation	Combat potential

10 Factors were reported with a frequency of 10% or less:

Force	Cooperation
Capacity	Character
Creative Thinking	Loyalty
Human Skills	Technical Skills
Responsibility	Adaptability

2. The effectiveness of the fitness report for uses:

- a. Promotion selection.....90
- b. Duty assignments.....65
- c. School selection.....76
- d. Command selection.....90
- e. Motivation, better performance.....75

3. The importance of the following factors:

- a. Personal traits.....58
- b. Human relation skills.....76
- c. Technical qualifications.....69
- d. Combat potential.....46
- e. Professional qualifications.....88
- f. Management abilities.....85
- g. Physical endurance and health.....50
- h. Staff abilities.....65

4. The validity of the fitness report system as a tool for selection uses for promotion of officers:

5. The importance of the following sections of the fitness report for selection uses:

- a. Section 14, Performance of duties....97
- b. Section 20, Leadership (traits).....80
- c. Section 21, Comments.....80

6. The effectiveness of using:

- a. the same form for all officers.....71
- b. separate forms for line, staff,
specialty officers.....34
- c. separate forms by rank, one for
CAPT and below, one for flag.....71

7. For selection board use, clerks produce an officer record summary, the factors are "weighted" and scores calculated:
 - a. would knowing the "weights" be of value to reporting seniors.....57
 - b. of value to the officer reported on.....44
 - c. BUPERS should use electronic data processing to prepare such records.....88
8. The effectiveness of BUPERS INSTRUCTION 1611.12 as an aid to report preparation.....56
9. The effectiveness of the forced rating scale in section 15 as a means of getting a "spread" in the ratings.....80
10. The adequacy of information generally available to officers on the manner in which fitness reports are used for the various management and selection uses.....36
11. How well do you believe the fitness report system provides you a fair chance of getting ahead.....80
12. How well the system selects those best qualified for promotion.....83

Observations--An examination of the results of the survey

indicates several observations which provide "value judgments" as to the effectiveness of the navy's officer appraisal and selection system as perceived by those most affected by the system, the naval officers. The significant observations to be made from the responses of the officers are as follows:

- a. 100% of the respondents considered a systematic appraisal and selection system necessary in order to have an effective officer corps.
- b. The system is considered highly effective in selecting officers for promotion and command selection (90%), and somewhat less effective in selection of officers for duty assignments (65%) and school assignments (76%).

c. The system is considered 50% effective for providing the individual with a fair chance of getting ahead.

d. The most important rated factor is considered to be "performance of duties"--the effectiveness of the system to measure this factor was rated highly effective, 97%.

e. A serious deficiency is considered to exist in two areas. Naval officers generally lack (a) adequate knowledge and understanding of the elements and criteria of measurement used in the system, and (b) lack formal education in appraisal and selection theory and procedures.

f. 88% of the officers considered electronic data processing could be effectively employed to improve officer appraisal and selection.

g. The factors which are rated on the current fitness report correlates highly with those considered important for selection uses by the respondents.

h. Human relation skills (76%) are considered significantly more important than personal traits (58%).

CHAPTER VI

EFFECTIVENESS OF THE APPRAISAL AND SELECTION SYSTEM SUMMARY AND CONCLUSIONS

General--This paper has examined the officer appraisal and selection system as it developed and as it currently is used in the U.S. Navy. The appraisal and selection system is used to select naval officers for promotion and assignment to various duties and special purposes such as command, post-graduate and service college education, continuation on active duty, and augmentation of Reserve Officers into the Regular Navy.

The examination has revealed significant changes which have occurred since the inception of the first recorded appraisal of naval officers in the navy. Significant environmental changes have taken place--a great advance in technology, a change from a "national" to an "international" navy, the country has developed to a high level of economic and intellectual capability, and a tremendous increase in the body of knowledge relating to human behavior and appraisal techniques.

The foregoing changes have exerted a significant impact upon the navy--the basic duties and functions required of the navy officer have magnified. Initially, the naval officer's job was rather simple--he was concerned with manning and fighting sailing ships equipped with relatively simple weapons systems. Today the scope of the job entails officering a navy

comprising some 670,000 personnel--spending approximately \$15 billion dollars annually. The naval officer's duties include performance in billets requiring a high degree of technical, judgmental, management, and human relations competence. Officers must perform effectively in U.S. Navy billets, and also in joint and combined staffs--staffs where the officer is required to deal effectively with members of the other branches of the U.S. Department of Defense and with members of foreign armed services.

Five questions were proposed in chapter I which appeared germane to an analysis of the effectiveness of the navy's officer appraisal and selection system. A summary of the answers to the five questions would therefore appear the most appropriate means for concluding the analysis of the system.

(1) Is there a need for an appraisal system?

A systematic appraisal and selection system is considered necessary in order to have an effective officer corps--the nature of the duties required of the naval officer appears to demand it. The magnitude of the personnel selection program would indicate that a formal selection program would be required to select those best qualified for assignment to duties of increasing responsibility. This position appears to be supported by the respondents to the survey--100 per cent replied that a formal appraisal and selection system was considered necessary to have an effective officer corps.

(2) What are the criteria for an effective system?

One might easily decide that an appraisal system is necessary--one can not as easily decide if the one in use is most effective.

the effectiveness can only be determined by "value judgments". This writer has attempted to make his value judgments as objective as is possible by examining the system, in toto, against the elements and criteria considered most useful for measuring effectiveness. The various elements of an effective appraisal and selection system appeared to be used in proper balance in the navy's officer appraisal and selection system. While each of the various elements and techniques, in toto, would appear to provide a balanced system, weaknesses appear apparent in various segments of the program. These weaknesses will be outlined under the last question to be considered in this chapter.

(3) What are the purposes that the system must serve?

The system must be able to measure and record those factors from which may be judged the excellence of individual officer performance. Accordingly those officers may then be identified who are "best qualified" for: (1) entrance into the officer corps, (2) assignment to duties, (3) promotion, (4) special education and training, such as post-graduate and service college education; or in simple terms, "the leaders of tomorrow".

(4) What is the scope of the appraisal problem?

The scope of the appraisal and selection problem in today's navy is of fantastic magnitude. As will be recalled only 4,376 officers were in the navy at the beginning of World War I--today it is necessary to select between 15,000 and 18,000 officers for promotion each year, and screen some 14,000 to 17,000 records to select officers for post-graduate and service college education. This illustrates, naturally, only a part of the selection problem.

the sheer magnitude of the problem imposes practical restraints upon the procedures which can be used.

- (5) Does the system serve the purpose and scope; if not, what changes are required?

There is an old adage--"One cannot argue with success". The foregoing cliché might be used as an argument in defense of an affirmative answer to the question under consideration--such argument would, however, serve to substantiate the point of view that "we should maintain the status quo because the navy is doing a good job and we are selecting officers for the various purposes enumerated earlier". Thus, it is contended that it should be conceded at this point that a creditable appraisal and selection job is being done. The question is therefore: "What changes can be considered which will improve the effectiveness of the system?"

The problem of selecting candidates for entrance into the officer corps appears to meet the essential criteria outlined in earlier chapters. The method of selecting entrants, as will be recalled, is based upon three basic elements: (1) minimum qualifications, (2) written intelligence and aptitude tests, and (3) moral and conduct standards of the individual.

The selection of officers for the other major administrative purposes is determined by an evaluation of the officer's complete record. The primary instrument used in his selection is his fitness report record. The officers responding to the opinion survey indicated that they considered the system to be effective. This thesis, while generally supporting the same point of view,

has indicated certain weaknesses in the system. The final section of this chapter will provide a summary of the weaknesses of the system.

Weaknesses--The weaknesses seen in the navy's officer appraisal and selection system will be discussed under three topics: (1) Practicality, (2) Testing, and (3) Objectivity and Improved Reports.

(1) Practicality. The volume of fitness reports which must be summarized and considered by selection boards indicates a need to employ electronic data processing equipment in the officer appraisal and selection process. The Officer Summary Record can be easily, quickly, accurately, and efficiently prepared by electronic data processing means.

The use of electronic data processing equipment in the selection process would improve the system--it would allow the selection board members sufficient time:

- a. to better determine the desired criteria of measurement for selection, and
- b. for careful study and deliberation of those cases which fall into the "zone of closeness".

It appears that the major portion of all officer selections can be fairly and accurately performed by electronic data processing means. A correlation of the actual selections to the grade of Lieutenant and Lieutenant Commander for this past fiscal year (table 4, page 25) with selection by electronic data processing means might prove enlightening and very

orthwhile.

(3) Tests. The use of tests in personnel appraisal and selection processes is relatively new. Knowledge in the field of testing has been growing at a rapid pace. The increased use of testing by the navy in recent years for selection and appraisal purposes has been pointed out in this paper. It is considered, however, that a more deliberate program of testing should be undertaken. A deliberate study program of testing should result in an improved officer appraisal and selection system. The recently announced use of the Department of Defense Officer Record Examination provides one example of the use of tests for administrative purposes--but the stated purpose is entirely too limited in scope and vision. It appears obvious that the use of general intelligence and aptitude tests should be correlated for every conceivable useful appraisal and selection use. Tests results should be correlated with each individual's success or failure in specific programs such as flight training, post-graduate education, performance in specialities, fitness reports, and promotion.

Test results could provide a means to determine the validity of the selection system. Correlation of tests results with the results of the selection system might assist materially in detecting and correcting weaknesses in the appraisal and selection system.

(3) Objectivity and Improved Reports. It is evident by the discussion in this paper that it is difficult to obtain objective fitness reports which provide an adequate

"discrimination of measurement". Improved and more objective reports for use in naval officer appraisal and selection might be obtained by use of the following:

- a. An improved rating scale which would allow for a more finite grading; such as the scale used in the Army's officer efficiency report, section VI.
- b. Defining the meaning of each rated variable in the fitness report form used for the officer's evaluation.
- c. Separate evaluation sections for measuring past performance in specific duty assignments and estimation for future potential.
- d. A more direct evaluation of Human Relation Skills. The manner in which the officer utilizes one of the most important resources, men, is not adequately evaluated.
- e. Clearly defining the weight accorded to each rated variable in order that reporting seniors could make evaluations on a standard basis.
- f. Assuring that each officer is provided formal education in appraisal theory and a thorough knowledge of the "workings" of the officer appraisal and selection system.

Conclusion--This thesis was directed to the following question:

Does the officer personnel appraisal system employed in the U.S. Navy provide an effective means of evaluating and selecting those officers best qualified to fill billets encompassing duties which require management of men, money and materials in both a national and international "technical navy" in support of the national purpose?

It is concluded that the system is doing a creditable job of evaluating and selecting those officers best qualified to perform the functions enumerated above. This conclusion does not imply that the system is perfect. Weaknesses exist. The navy is dynamic. If the navy is to remain dynamic, the appraisal and selection system must remain dynamic. The system can be improved.

APPENDIX A

LIST OF OFFICER FITNESS REPORT FORMS FROM 1865 TO 1965^a

Title	Date	Form	Use	Applicable Navy Regulation
Quarterly Report on Standing and Attainment of Commanding Officers	1865	25	Made on Commanding Officers of Squadrons, divisions and vessels	1865, Art. 296
Report of Line Officers attached to the USS__ commanded by__ for the quarter ending__	1865	26	Made on Line Officers 1865, other than commanding	1865
Report of Staff Officers attached to the USS__ commanded by__ for quarter ending__	1865	27	Made on Staff Officers	1865
Report on the Fitness of Officers	1891	A	Made on Commanding Officers afloat only	NavReg Circular No. 86, 9-10-91
Report on the Fitness of Officers	1991	B	Made on officers other than Commanding afloat	NavReg Circular No. 86, 9-10-91

Title	Date	Form	Use	Applicable Navy Regulation
Report on the Fitness of Officers	1893	A	Made on Commanding Officers only (a- float)	1893, Article 237
Report on the Fitness of Officers	1893	B	Made on all offi- cers other than Commanding	1893, Article 237
Report on the Fitness of Officers	1893	C	Made on all offi- cers on shore duty	Regulation Cir- cular No. 16, 8-19-95
Report on the Fitness of Officers	1896	A	Made on Commanding Officers afloat only	1896, Article 238
Report on the Fitness of Officers	1896	B	Made on officers a- float other than Commanding	1896, Article 238
Report on the Fitness of Officers	1896	C	Made on all officers on shore duty	1896, Article 238
Report on the Fitness of Officers	1900	A	Made on Commanding Officers afloat only	1900, Article 254
Report on the Fitness of Officers	1900	B	Made on officers a- float other than Commanding	1900, Article 254

Title	Date	Form	Use	Applicable Navy Regulation
Report on the Fitness of Officers	1900	C	Made on all officers on shore duty	1900, Article 254
Report on the Fitness of Officers	1905	N.Nav A	Made on Commanding Officers afloat only	1905, Article 254
Report on the Fitness of Officers	1905	N.Nav B	Made on officers a- float other than Commanding	1905, Article 254
Report on the Fitness of Officers	1905	N.Nav B	Made on all officers on shore duty	1905, Article 254
Report on the Fitness of Officers	1909	N.Nav A	Made on all Commanding Officers ashore and afloat	1909, Article 246
Report on the Fitness of Officers	1909	N.Nav B	Made on all other offi- cers either ashore or afloat	1909, Article 246
Report on the Fitness of Officers	1912	--	Made on all officers	1909, Article 246
Report on the Fitness of Officers	1912	--	Made on all officers	1909, Article 246
Report on the Fitness of Officers	1914	--	Made on all officers	1913, Article 707 (1)

Title	Date	Form	Use	Applicable Navy Regulation
Report on the Fitness of Officers	1917	--	Made on all officers	1913, Article 707 (1)
Report on the Fitness of Officers	1918	N.Nav 443	Made on all officers	1913, Article 707 (1)
Report on the Fitness of Officers	1919 (Nov)	N.Nav 443	Made on all officers	1913, Article 707 (1)
Report on the Fitness of Officers	1923 (April)	N.Nav 443	Made on all officers	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1924 (April)	N.Nav 443	Made on all officers	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1928 (July)	N.Nav 443	Made on all officers	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1929 (May)	N.Nav 443	Made on all officers	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1930 (Sept)	N.Nav 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1932 (Mar)	N.Nav 443	Made on all officers afloat	1920, Sec. 5, Chap. 2
Report on the Fitness of Officers	1932 (May)	N.Nav 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2

Title	Date	Form	Use	Applicable Navy Regulation
Report on the Fitness of Officers	1937 (Jan)	N.Nav 443	Made on all officers afloat	1920, Sec. 5, Chap. 2, and BuNav Man. Art.
Report on the Fitness of Officers	1937 (Jan)	N.Nav 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1938 (July)	N.Nav 443	Made on all officers afloat	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1938 (July)	N.Nav 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1941 (May)	N.Nav 443	Made on all officers afloat	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1941 (May)	N.Nav 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007

Report on the Fitness of Officers	(May) 1942	N.Pers 443	Made on all officers afloat	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1942 (July)	N.Pers 443-A	Made only on officers on shore duty	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1007
Report on the Fitness of Officers	1943 (Aug)	N.Pers 310	Made on all officers afloat	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1006
Report on the Fitness of Officers	1943 (Aug)	N.Pers 311	Made only on officers on shore duty	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1006
Officer's Fitness Report	1945 (June)	N.Pers 310A	Made on all officers	1920, Sec. 5, Chap. 2, and BuNav Man. Art. C-1006
Officer's Fitness Report	1951 (Jan)	N.Pers 310	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202

Title	Date	Form	Use	Applicable Navy Regulation
Report on the Fitness of Officers	1951 (Mar)	N.Pers 310	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202
Report on the Fitness of Officers	1951 (Oct)	N.Pers 310	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202
Report on the Fitness of Officers	1953 (May)	N.Pers 310	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202 and BuPers Inst. 1085.23
Report on the Fitness of Officers	1954 (Mar)	N.Pers 310	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202 and BuPers Inst. 1611.5
Report on the Fitness of Officers	1962 (Apr)	N.Pers 310W	Made on all officers	1948, Art. 1701 BuPers Man. Art. B-2202 and BuPers Inst. 1611.12
Report on the Fitness of Flag Officers	1964 (Mar)	N.Pers 310A	Made on all Flag Officers	1948, Art. 1701 BuPers Man. Art. B-2202, BuPers Inst. 1611.12 and 1611.13

^aSource of Data: U.S. Navy, "History of the Officer Fitness Report," NAVPERS 18494, 1956; BUPERS INST 1611.12 & 1611.13

^bUpon issuance of NAVPERS FORM 310A, FORM 310W on Officers through the rank of CAPT.

APPENDIX B

CLASSIFICATION OF FACTORS RATED SINCE THE ESTABLISHMENT OF THE OFFICER FITNESS REPORT SYSTEM IN THE NAVY^a

This appendix contains a classification and tabulation of the factors which have been rated in officer appraisal in the U. S. Navy since the inception of the first formal written appraisal form. The wording of the factors or phrases used in the fifty officer fitness report forms analyzed was different but of the same general meaning; accordingly, some were combined under a general adjective or phrase.

Descriptive Adjective or Phrase	Frequency	Current Forms:	
		310W ^b	310A ^c
<u>Personal Traits and Characteristics:</u>			
1. General bearing and military appearance	43	x	
2. Judgment	27	x	
3. Neatness and dress	27	x ^d	
4. Cooperation	26	x	
5. Initiative	25	x	
6. Industry	22	x	
7. Force	22	x	
8. Intelligence	21		
9. Loyalty	20	x	

Descriptive Adjective or Phrase	Current Forms:		Frequency
	310W	310A	
10. Conduct	x ^e		18
11. Perseverance			14
12. Moral Courage	x		14
13. Sobriety	x ^e		14
14. General conduct and bearing	x ^e		11
15. Presence of mind			6
16. Tact			6
17. Temperamental qualities	x ^e		5
18. Devotion to duty			4
19. Reliability	x		3
20. Firmness			2
21. Decision			2
22. Courtesy			2
23. Justice			2
24. Patience			2
25. Self Control			2
26. Subordination			2

27. Morals	2	
28. Zeal	2	x ^f
29. Capacity	1	
30. Imagination	1	x
31. Personal Qualities	1	x ^f

Professional Qualifications:

1. Leadership	25	x ^g	
2. Attention to duty	20		
3. Aptitude for the Service	15		
4. Professional ability	13	x ^h	x ^h
5. Professional Qualifications	9	x ^h	x ^h
6. Willingness to assume responsibility	2		
7. Professional knowledge	2	x	
8. Promotional Potential	2		x
9. Education	2		
10. Professional aptitude	1		

Technical Qualifications:

1. Qualification as deck watch officer	18	x ⁱ
2. Qualification as executive or division officer	16	
3. Ship handling	119	x
4. Rate in technical competence in his specialty	6	x
5. As staff officer	4	
6. Navigation	4	
7. Gunnery and ordnance	4	
8. Seamanship	4	
9. Steam	44	
10. As intelligence officer	1	
11. As signal officer	1	
12. In engineroom and fireroom	1	
13. Airmanship	1	x

Administrative and Management:Management Engineering and Work
Measurements:

1. Ability to command	24	x
2. Administrative work	18	x
3. Present Assignment	17	x
4. Manner of performing duties	16	
5. Condition and efficiency of command	14	
6. Executive work or ability	8	
7. Estimate of officer as a result of observing him in practical work	3	
8. Manner of giving commands	2	
9. Efficiency in the performance of duty	2	
10. Manner and bearing in the performance of duty	1	
11. Efficiency of men under his special control	1	
12. Effectively delegates tasks and authority	1	
13. Transmits orders, instructions and plans	1	

Descriptive Adjective or Phrase	Frequency	Current Forms 310W 310A
14. Management effectiveness	2	x
15. Collateral duties	2	x
16. Maintains discipline among those under his command	1	
Human Relations Skills:		
17. Zeal, intelligence, and judgment shown in instructing, drilling, and handling enlisted men	5	
18. Ability to adapt to changing needs and conditions	2	x
19. Inspire subordinates at work	1	
20. Ability to work with others	1	
<u>Physical Condition:</u>		
1. Health	26	x ^d
2. Endurance	19	
3. Physical and nervous endurance under strain	5	

Descriptive Adjective or Phrase	Frequency	Current Forms 310W 310A
---------------------------------	-----------	----------------------------

War and Emergency Reactions:

- | | | |
|---|----|---|
| 1. Considering the possible requirements of the naval service, in peace and in war, have you any objection to said officer being under your immediate command | 43 | x |
| 2. Reaction in emergency | 14 | |
| 3. Performance at battle stations or duties | 13 | |

Forced Rating Scale:

- | | | |
|---|----|---|
| 1. In comparison with other officers of his rank and approximate length of service, how would you designate this officer? | 16 | x |
|---|----|---|

^aSource of data: Prepared from data in U.S. Navy, "History of the Officer Fitness Report," Research Report 56-2, NavPers 18494, 1956 and analysis of Officer Fitness Report Forms.

^bFitness Report Form 310W(4-62) is currently submitted on all officers of the rank of Captain and below. See appendix C for copy of the report.

^cFitness Report Form 310A(3-64) is currently submitted on all officers of Flag rank. See appendix C for copy of the report.

d Regarded as a part of military bearing.

e Regarded as part of personal behavior.

f Zeal is used to describe the trait of Industry.

g Several individual traits are classified under the general heading of Leadership. See section 20 of form 310W in appendix C.

h Form 310W includes grades on professional knowledge as a quality of leadership. Form 310A includes essay comment under a general classification of Professional Performance. See forms in appendix C.

i Included as a general item which may be used to grade performance in any specific watch.

j Not a graded factor on current forms; however, BuPers Instruction 1611.12 of 4 April 1962 provides that "after a naval campaign or action, and after service on shore with an expeditionary force or force of occupation, an entry shall be made on each officer's next report of fitness of his participation therein, security provisions at the time permitting, stating the kinds of service performed and giving the dates and names of any engagements in which he took part."

FO211031259

Fig. 1.--Form Number 25
Report of Commanding Officers, Fleet, 1865

FORM NUMBER 26

Report of the Officer Witness Report, Research Report 56-2, Happers

Impressions as to Gen. Quals.	Impressions as to Professional Attitude	Impressions as to Professional Attitude for	General Information	Language spoken	Recommendations.
Conduct	Health	Seafanship	Steadiness	Navigation	General and Ord. and
					Evolutionary
					Instruction
					Language spoken
					Recommendations.

_____, Commanding U.S. Ship _____

Reproduced from a copy of Form 26 contained in U. S. Navy, History of the Officer Witness Report, Research Report 56-2, Happers

Fig. 2.--Form Number 26
Report of Line Officers, 1865

(T.O. 2000. 2.1)

S. Remarks.

I certify on honor that I believe the entries herein made are true and impartial, and that I have communicated in favorable mention, as directed.

U. S. A.

Fig. 4.--Form A, 1891
Report on The Fitness of Officers

1. Professional ability. *Excellent*

2. Attention to duty. *Excellent*

3. General conduct. *Excellent*

4. Sobriety. *Excellent*

5. Health. *Excellent*

6. Misdeeds or men under his special control. *Excellent*

7. If any special duty has devolved upon him, state its nature, and how it was performed.

3. If he has in any way gone beyond the requirements of ordinary routine, state the direction in which he has gone.

I certify on Honor that I believe the entries herein made are true and impartial, and that I have communicated unfavorable mention, as directed.

October 2, 1881.
Comdr. H. H. Seward

[illegible]

Fig. 5.--Form B, 1891
Report on the Fitness of Officers

— . . .

Capt. J. H. ...
 U. S. A.
 ...
 ...

Fig. 6.--Form C, 1893
Report on the Fitness of Officers

Period covered by this report, from March 1, 1912 to March 1, 1913
 To be made out by the commanding officer, and sent:

1. Home address Philadelphia, Pa.
2. Next of kin John J. ...
3. Name any professional or scientific study or pursuit followed outside of those necessary to your prescribed mental duties, stating the progress made none
4. State any special knowledge or experience you have acquired outside of naval work and on the none
5. Subjects or titles of books or essays written or published, lectures or papers read, what and when none
6. State any duty or service during the period of this report, performed out of the regular call you believe record should be made, giving date, place, and your immediate senior in command none
7. Proficiency in foreign languages, stating which and to what ability none
 - (a) As interpreter none
 - (b) As translator none
8. For which of the duties enumerated in 19 have you a preference? none

To be made out by the reporting officer:

9. To give caution or duty none
10. Any special or unusual duty performed, including duty in war, and the manner in which performed none
11. Recommendations of duty none
 - (a) With honor none
 - (b) With distinction none
 - (c) With commendation none

Fig. 7.--1912
 Report on The Fitness of Officers

F. OFFICER'S REPORT ON C. O. D.

20. (a) Promotion history in general. *Excellent*
- (b) Initiative, intelligence, judgment, and thoroughness in the general performance of duty. *Excellent*
- (c) (If less than two years out of the Naval Academy) Is he qualified for regular work deck at sea in formation?
- (d) Is he fully qualified for all the duties of his grade? If not, state in what particulars. *Yes*
21. Do you consider him fit to be entrusted with important tasks and duties?
22. Considering the possible requirements of the naval service in peace and in war, would you recommend him for promotion to his being under your immediate command? *Yes*

FITNESS FOR PROMOTION.

23. (a) If the officer is due for promotion within a year from the date of this report, state whether you consider him to have the necessary qualifications for promotion to the next higher grade; if not, state qualifications in which he is deficient.
- (b) (For warrant officers only.) If he is eligible for examination for promotion to the grade of ensign, do you recommend him for such promotion?

HEALTH AND PHYSIQUE.

24. Health in general. *Very good*
- (a) Total number of days on sick leave. *None*
- (b) By what disease or ailments incapacitated from duty.
- (c) Eyesight. *Very good*
- (d) Hearing. *" "*
- (e) Physical endurance. *" "*
- (f) Is he untroubled by any physical disability for duty at sea? If not, state in what particulars. *Yes*

Fig. 7.--Continued.

6.
REMARKS.

15. The

16. This report must be made in accordance with the Navy Regulations, using the following words, combined with numbers, from 1 to 6, preceded by ten ...

Line ...	1.0 to 2.0	2.5 to 3.0
Yard ...	2.0 to 3.0	3.5 to 4.0
Code ...	4.0 to 5.0	5.5 to 6.0

17. These reports are confidential, and the reporting officer shall not refer any part of this report directly or indirectly to the officer concerned, or to any other officer in reply or in any other way, or to any other officer.

18. The officer

RECEIVED ... J. E. L. U. S. N.
COVE ...

U. S. NAVY ...
(Du y.)

Fig. 7.--Continued.

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Fig. 8.--N. Nav 443, 1924
Report on The Fitness of Officers

Fig. 10.--NAVPERS 310W, 1962
Report on The Fitness of Officers

REPORT OF FITNESS OF

FLAG OFFICER

NAME (Last, First, Middle)

1. (Last, First, Middle)

6. (Last, First, Middle)

7. (Last, First, Middle)

END OF REPORT

8. (Last, First, Middle)

TITLE OF REPORT

10. (Last, First, Middle)

9. (Last, First, Middle)

REGULAR

CURRENT

SPECIAL

FROM:

TO:

11. (Last, First, Middle)

12. (Last, First, Middle) (during period for which assigned)

13. EMPLOYER'S REGARD DURING PERIOD OF THIS REPORT

14. REFERENCE AND APPEND ANY OTHER ADVERSE REPORTS ON THIS OFFICER RECEIVED DURING THE PERIOD OF THIS REPORT

15. PROFESSIONAL PERFORMANCE:

16. PERSONAL QUALITIES:

17. NAME, GRADE, PAY NUMBER, POSITIONARY AND OFFICIAL TITLE OF REPORTING SENIOR

(Continue on reverse)

Fig. 11.--NAVPERS 310A, 1964
Report on The Fitness of Flag Officers

NAVPER 50-A (2-54)

15. PERSONAL QUALITIES CONTINUED:

17. PROMOTIONAL POTENTIAL:

18. FUTURE ASSIGNMENT:

19. FREQUENCY OF OBSERVATION	(Check appropriate box)
<input type="checkbox"/> DAILY	<input type="checkbox"/> FREQUENT OBSERVATION
<input type="checkbox"/> INFREQUENT OBSERVATION	<input type="checkbox"/> Seldom reports only
20. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
21. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
22. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
23. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
24. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
25. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
26. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
27. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
28. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
29. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
30. Has the subject been observed for statements, actions, or conduct of officers?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO

Fig. 11.--Continued.

Fig. 12.--Continued.

OFFICER FITNESS REPORT—U.S. MARINE CORPS

NAVMC 10147-PD (REV. 6-63)

(SUPERSEDES 2-57 AND 4-61 EDITIONS WHICH WILL BE USED)

SECTION A

EMBOSSSED PLATE IMPRESSION (Name, Grade, Service No., MOS's)

EMBOSSSED PLATE IMPRESSION (Organization)

*1. NAME (Last) (First) (Middle initial) GRADE USMC SERVICE NO.

*2. ORGANIZATION

*3. PRIMARY MOS

ADDITIONAL MOS's

4. OCCASION FOR THIS REPORT (Check appropriate box)

☐ SEMIANNUAL☐ DETACHMENT OF OFFICER REPORTED ON
(Enter unit or station to which detached, below)☐ CHANGE OF REPORTING
SENIOR☐ CONCURRENT
REPORT☐ OTHER (Explain below)

5. PERIOD COVERED: FROM (Day, month, year) TO (Day, month, year) MONTHS

6. PERIODS OF NONAVAILABILITY (30 DAYS OR MORE) (Explain)

7. DUTY ASSIGNMENTS DURING PERIOD COVERED: A. REGULAR (Dates, descriptive title, and duty MOS)

B. ADDITIONAL (Descriptive title and number of months)

MARKSMANSHIP QUALIFICATIONS
(Lieutenants and Captains)

8. WIFE'S ADDRESS

9. AGE, RELATIONSHIP OF DEPENDENTS REQUIRING TRANSPORTATION

10. OFFICER'S PREFERENCE FOR NEXT ASSIGNMENT (1st choice)

(2nd choice)

(3d choice)

SIGNATURE OF OFFICER REPORTED ON

DATE

SECTION B (To be completed by reporting senior)

11. NAME AND GRADE OF REPORTING SENIOR

12. DUTY ASSIGNMENT

US

13. RECOMMENDATIONS FOR OFFICER'S NEXT DUTY ASSIGNMENT

14. DURING THE PERIOD COVERED BY THIS REPORT—

YES

NO

(a) Has the work of this officer been reported on in a commendatory way? ☐ ☐(b) Has the work of this officer been reported adversely? ☐ ☐(c) Was this officer the subject of any disciplinary action that should be included on his record? ☐ ☐

If YES in (a), (b), or (c), and a report has NOT been submitted to the CMC, attach separate statement of nature and attendant circumstances. If a report has been submitted to the CMC, reference such report below:

15. A. ENTRIES ON THIS REPORT ARE BASED ON (Check appropriate box)

☐ DAILY CONTACT AND CLOSE OBSERVATION
OF THIS OFFICER'S WORK☐ FREQUENT OBSERVATIONS
OF THIS OFFICER'S WORK☐ INFREQUENT OBSERVATIONS
OF THIS OFFICER'S WORK

15. B. TO BE COMPLETED ON ORGANIZED RESERVE OFFICERS

ATTENDED OF SCHEDULED DRILLS

* If embossed plate impression is used, do not complete items 1, 2, and 3.

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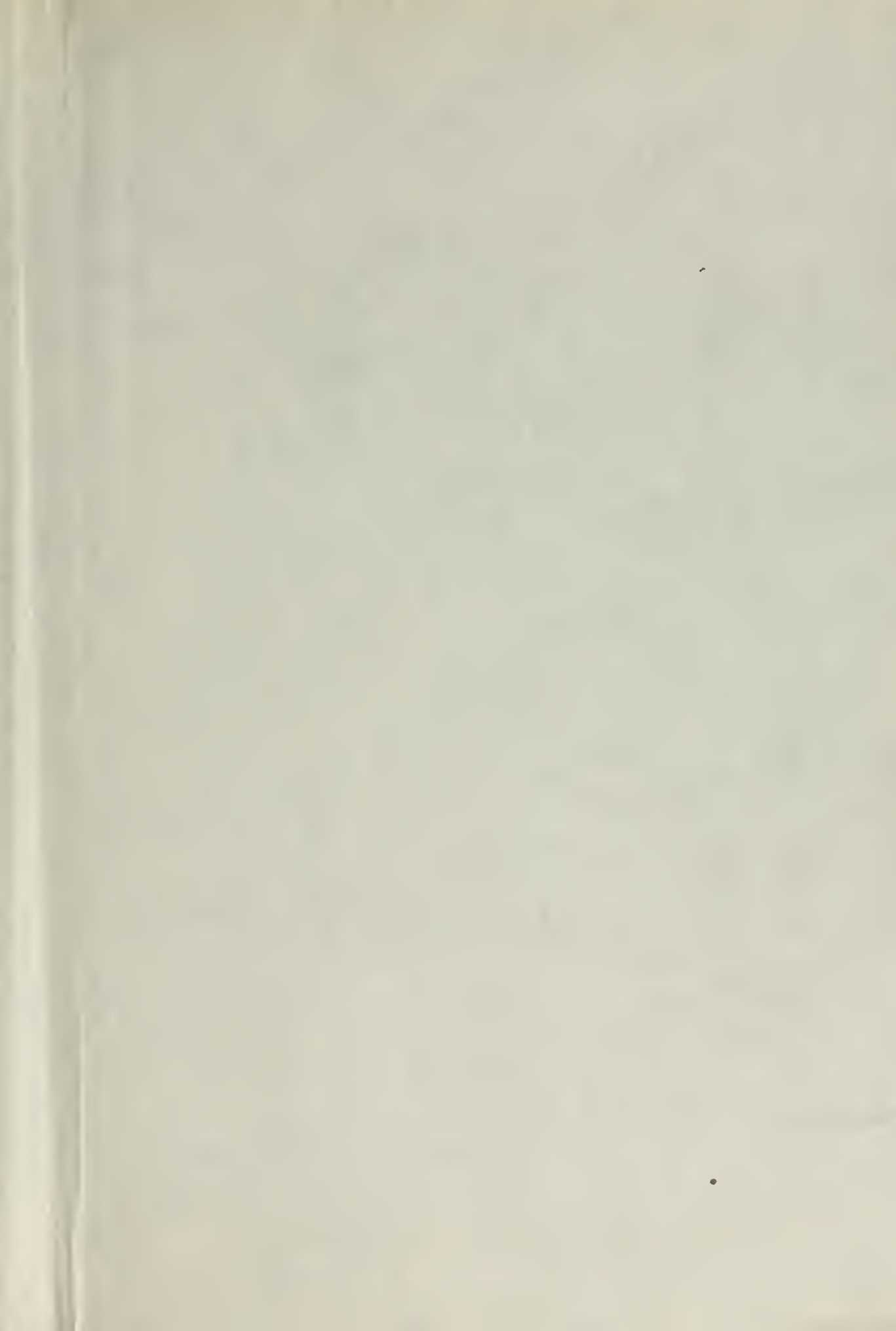
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